

1 JULY 2008



Personnel

LABORATORY PERSONNEL DEMONSTRATION PROJECT

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Pages: 123

This manual implements Public Law 103-337, *National Defense Authorization Act for Fiscal Year 1995*, authorizing science and technology (S&T) Laboratory Personnel Demonstration Project (Lab Demo) to improve the quality of Department of Defense (DoD) Laboratories, Air Force Policy Directive (AFPD) 36-1, *General Civilian Personnel Provisions and Authorities*, Air Force Research Laboratory Policy Directive (AFRLPD) 36-1, *Laboratory Personnel Demonstration Project Administration*, and Air Force Research Laboratory Instruction (AFRLI) 36-101, *Laboratory Personnel Demonstration Project's Contribution-Based Compensation System*. The purpose of this manual is to ensure that the Lab Demo initiatives are focused on achieving the best workforce to accomplish the laboratory's mission. Additionally, this manual will serve to provide guidance on matters specific to the Lab Demo in relation to pay setting, classification, assessments, etc. This manual applies to Lab Demo positions only. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with (IAW) AFMAN 37-123 (will convert to AFMAN 33-363, *Management of Records*), and disposed of IAW the Air Force Records Disposition Schedule (RDS) located at <https://afrims.amc.af.mil/>. Refer recommended changes and questions about this publication to the office of primary responsibility (OPR), using the AF IMT 847, *Recommendation for Change of Publication*; route AF IMT 847 through the appropriate functional chain of command.

TABLE OF CONTENTS

Chapter 1 — CLASSIFICATION SYSTEM	6
Table 1.1. — GS Grades.....	6
Table 1.2. — Broadband Level Identifier.....	7
Table 1.3. — Occupational Series for Laboratory Civilian S&Es	8
Table 1.4. — Career Field Listing.....	16
Chapter 2 — STAFFING AND AFFIRMATIVE EMPLOYMENT	20
Table 2.1. — Nature of Action Determination Table.....	28
Table 2.2. — Personnel Actions Required for Hiring	30
Table 2.3. — Remarks Codes Used for Hiring into Lab Demo	30
Chapter 3 — PROBATIONARY PERIOD.....	31
Table 3.1. — Processing Instructions for Personnel Actions – Required Probationary Period.....	32
Table 3.2. — Remarks Codes Used for Personnel Actions.....	32
Chapter 4 — CONTRIBUTION-BASED COMPENSATION SYSTEM	33
Figure 4.1. — 1995 CCS Relationships.....	34
Table 4.1. — Factors and Descriptors – Factor 1: Technical Problem Solving.....	36
Table 4.1. — Factors and Descriptors – Factor 2: Communications Reporting	37
Table 4.1. — Factors and Descriptors – Factor 3: Corporate Resource Management.....	38
Table 4.1. — Factors and Descriptors – Factor 4: Technology Transition/Technology Transfer.....	39
Table 4.1. — Factors and Descriptors – Factor 5: R&D Business Development	40
Table 4.1. — Factors and Descriptors – Factor 6: Teamwork and Leadership.....	41
Table 4.2. — OCS Computation	42

Figure 4.2. — Employee Positioning.....	47
Figure 4.3a.— Movement from Level I to Level II.....	50
Figure 4.3b.— Movement from Level II to Level I.....	50
Figure 4.3c.— Movement from Level II to Level III.....	51
Figure 4.3d.— Movement from Level III to Level II.....	51
Figure 4.3e.— Movement from Level III to Level IV	52
Figure 4.3f. — Movement from Level IV to Level III	52
Table 4.3. — Presumptive Rating Matrix.....	55
Table 4.4. — All Pay Pools	59
Figure 4.4. — RPA Information Sheet	60
Figure 4.5. — Grievance Documentation Checklist.....	61
Table 4.5. — Processing Instructions for Personnel Actions.....	62
Table 4.5a. — Personnel Actions Required for General Adjustments and Bonuses	62
Table 4.5b. — Remarks Codes to be Used on Personnel Actions (as Appropriate)	62
Chapter 5 — HANDLING INADEQUATE CONTRIBUTIONS.....	63
Table 5.1. — Handling Inadequate Contributions.....	68
Chapter 6 — LABORATORY ORGANIZATIONAL STRUCTURE AND UNIT.....	69
MANNING DOCUMENT (UMD)	
Chapter 7 — VOLUNTARY EMERITUS CORPS.....	71
Chapter 8 — PERSONNEL TRAINING, DEVELOPMENT, AND RECOGNITION	73
Figure 8.1. — Award Types	75
Table 8.1. — Processing Instructions for Personnel Actions for Awards.....	76
Chapter 9 — REDUCTION-IN-FORCE.....	77

Table 9.1. — Processing Instructions for Personnel Actions Due to Reduction in Force	80
Chapter 10— FORMS.....	82

Attachment 1 — GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION	83
Attachment 2 — BROADBAND LEVEL DESCRIPTORS	92
Attachment 3 — LAB DEMO SERIES DEFINITIONS	96
Attachment 4 — FUNCTIONAL CLASSIFICATION CATEGORIES	104
Attachment 5 — FLOWCHART FOR EXTERNAL FILL ACTIONS	108
Attachment 6 — SAMPLE NOTIFICATION OF PLACEMENT ON..... CONTRIBUTION IMPROVEMENT PLAN (CIP)	110
Attachment 7 — SAMPLE MEMORANDUM FOR RECORD.....	117
Attachment 8 — AAZ PROCESS	119

Chapter 1

CLASSIFICATION SYSTEM

1.1. Introduction. Civilian positions within the science and engineering (S&E) occupational series covered by the AFRL Lab Demo are classified under Lab Demo classification procedures. Lab Demo uses a broadbanding system with four distinct broadband levels that replaced the traditional general schedule (GS) structure. Comparison to the GS grades was useful in deriving the initial pay relationship with the broadband levels; however, the GS grades do not apply to Lab Demo positions. Although discussed elsewhere in detail, broadband levels correspond to current GS grades in **Table 1.1**.

Table 1.1 GS Grades.

<u>Level</u>	<u>Current GS Grades</u>	<u>Level</u>	<u>Current GS Grade</u>
I	7 - 11	III	14
II	12 - 13	IV	15

1.2. Under Lab Demo, supervisors classify positions in accordance with the level of contribution that incumbents are expected to make toward the mission of the organization.

1.3. The Lab Demo project processes have simplified and automated the processing and recording of position classification. The final documentation of the process is an AFRL Form 278, *Statement of Duties and Experience (SDE)*. The SDE combines a single-page form, which includes a brief description of job-specific information, with a one-page addendum that identifies data element information pertinent to the job. A supplemental third page provides contribution requirements in each of six key factors based on the specified broadband level, which are shown in **Attachment 2**.

1.4. Lab Demo Classification Authority. Classification authority has been formally delegated to AFRL Commander (AFRL/CC) who, in turn, has delegated this authority not lower than two management levels below the commander (i.e., the division chief level). First-level supervisors will certify and sign the SDE and provide classification recommendations to the classification authority. Classification authority, however, must be exercised at least one management level above the first-level supervisor of the employee or position under review. Classification authority for employees reporting directly to the director of the technology directorates (TDs) is the AFRL Executive Director (AFRL/CA). Classification authority for employees reporting directly to AFRL/CA is AFRL/CC.

1.5. Supervisors are strongly encouraged to coordinate classification efforts with their TD's senior personnel advisor (SPA) and servicing civilian personnel specialists to ensure all documentation requirements are met. The original SDE and all supporting documentation will be maintained in the operations office of each directorate. Management will maintain a copy of each employee's SDE in the appropriate AF Form 971, *Supervisor's Employee Brief*, and have the employee sign it each year, acknowledging understanding of the contribution expectations of the position.

1.6. Classification Standards. Within Lab Demo, the present system of classification by comparison to the Office of Personnel Management (OPM) classification standards, available through most civilian personnel offices (CPOs), and on the OPM website, is used for the identification of proper occupational series and titles. Once the series and title are established, using the OPM standards, the appropriate broadband level identifier will be as assigned in **Table 1.2**.

Table 1.2 Broadband Level Identifier.

Level	Current GS Grade(s)	Title(s)
I	7-11	Associate ... (Electronics Engineer, Chemist, etc.)
II	12-13	Title of Appropriate Series (Physicist, Biologist, etc.) OR Supervisory ... (Nuclear Engineer, etc.)
III	14	Senior ... (Mathematician, Computer Scientist, etc.) OR Supervisory Senior ... (Physical Scientist, etc.)
IV	15	Principal ... (Microbiologist, Psychologist, etc.) OR Supervisory Principal ... (Aerospace Engineer, etc.)

1.7. Grade-level criteria, when provided in the classification standards, will not be used. Rather, the contribution-based compensation system (CCS) broadband-level descriptors (described in detail in **Chapter 4**) will be used for the purpose of broadband-level determination.

1.8. SDE. The SDE, AFRL Form 278, replaces the AF Form 1378, *Civilian Personnel Position Description*, for S&E positions covered under Lab Demo. The SDE documents the classification of the position, i.e., occupational series, title, and broadband level, and identifies job-specific information, and data element information for the position. Supervisors work with the directorate SPA to create the SDE, using C²S² software. The original SDE and all supporting documentation will be maintained in the operations office of each directorate.

1.9. Creating an SDE. An SDE is created as a joint effort between the supervisor and the SPA, utilizing the C²S² software. Only SPAs are authorized to create or delete SDE records. The following section provides instructions on completing a new SDE.

1.9.1. SDE Identification. The SDE contains the SDE identification and civilian position control number (CPCN), name of the employee filling the position, and the manpower position control number (MPCN). If at the start of the classification process the position is vacant, the incumbent's name will be added to the SDE at the completion of the fill action. SDE numbering schemes will follow the servicing civilian personnel flight (CPFs) protocol for CPCNs. Any changes to the name, employee ID (i.e., social security account number [SSAN]), organizational symbol, or SDE number (i.e., CPCN) must be accomplished by the directorate SPA.

1.9.2. Organization. The SPA must select the office symbol for the position that is being created, which will result in the designation of the directorate, division, branch, and section. If the office symbol is not in C²S², the SPA will in turn work with the project office. If the office symbol has been approved through Manpower, it will be added to C²S².

1.9.3. Job-Specific Information. There are two free-form entries that must be input to complete this section. First, a brief job-specific description of the unique position requirements is manually input. Second, any special licensing, professional certification requirements, physical capability requirements, etc., must clearly be identified. The supervisor provides the job-specific text and other information as needed. Based on the selection of the data elements from elsewhere on the SDE, supervisory responsibilities, positive education requirements, etc., may be automatically included when appropriate.

1.9.4. Position Classification.

1.9.4.1. Pay Plan and Occupational Series. OPM has assigned DR as the pay plan designator for the AF Lab Demo.

1.9.4.2. AFRL currently has S&E occupational series in 41 series that fall into 7 groups. Brief descriptions of each occupational series are provided in **Attachment 3**. Supervisors must select the single occupational series definition that most closely represents the requisite skills, knowledge, and experience required and expected to maximize employee contribution. Occupational series for laboratory civilian S&Es included in this demonstration are identified in **Table 1.3**.

Table 1.3 Occupational Series for Laboratory Civilian S&Es.

<u>Series</u>	<u>Series Title</u>	<u>Series</u>	<u>Series Title</u>
0101	Social Scientist	0855	Electronics Engineering
0180	Psychology	0858	Biomedical Engineering
0190	General Anthropology	0861	Aerospace Engineering
0401	General Biological Science	0892	Ceramic Engineering
0403	Microbiology	0893	Chemical Engineering
0413	Physiology	0896	Industrial Engineering
0414	Entomology	1301	General Physical Science
0415	Toxicology	1306	Health Physics
0665	Speech Pathology & Audiology	1310	Physics
0701	Veterinary Medical Science	1313	Geophysics
0801	General Engineering	1320	Chemistry
0803	Safety Engineering	1321	Metallurgy
0804	Fire Protection Engineering	1330	Astronomy & Space Science
0806	Materials Engineering	1340	Meteorology
0808	Architecture	1370	Cartography
0810	Civil Engineering	1515	Operations Research
0819	Environmental Engineering	1520	Mathematics
0830	Mechanical Engineering	1529	Mathematical Statistician
0840	Nuclear Engineering	1530	Statistician
0850	Electrical Engineering	1550	Computer Science
0854	Computer Engineering		

1.9.4.3. Other S&E series may be added to Lab Demo as the need for new professional skills emerges within the laboratory environment. Non-S&E positions may be phased in during the course of the project. In the event of expansion to non-S&E employees, full approval of the expansion plan will be obtained through appropriate channels. **Note:** Special salary rates will not apply to Lab Demo employees regardless of the series selected.

1.9.4.4. Broadband Level Assignment. The supervisor selects, from among the set of four broadband level descriptors (refer to **Attachment 2**), the broadband level (I, II, III, or IV) corresponding most closely with expected employee or position level of contribution.

1.9.4.5. Titles for positions within Lab Demo are determined by the selected occupational series, the supervisory level, and the broadband level to which the positions will be assigned. In accordance with the Federal Register, positions at the DR-I level begin with associate (for example, associate electronics engineer); DR-II level positions are titled based on the series (for example, nuclear engineer or supervisory nuclear engineer); DR-III level positions begin with senior (for example, senior mathematician or supervisory senior mathematician); and DR-IV level positions begin with principal (for example, principal psychologist or supervisory principal psychologist). Research may be added to the title of positions where more than 50 percent of the duties are research related.

1.9.5. Supervisory Level. Supervisors assign the supervisory level of the position according to the following definitions: **Note:** If multiple supervisory level codes apply, the hierarchy of code selection is manager, mid-level supervisor, first-level supervisor, limited supervisor (Civil Service Reform Act [CSRA]), management official (CSRA), team leader, and all other positions.

1.9.5.1. Code 1 - First-Level Supervisor. Exercises full authority in establishing performance standards, evaluating performance, and assigning performance ratings for GS employees. Exercises full authority, as a member of the pay pool management, in assessing contribution and preparing SDEs for Lab Demo employees. Provides direct technical and administrative supervision to others. Interviews candidates, recommends appointments, promotions, and reassignments, determines disciplinary measures, as necessary, and proactively promotes career development and training for each employee. Initiates and approves other personnel actions, e.g., awards. Employees placed on Code 1 are required to serve a one-year supervisory and managerial probationary period. This is a one-time, initial requirement for all new supervisors/managers.

1.9.5.2. Code 2 - Mid-Level Supervisor. All levels of supervision subordinate to the manager but exceeding first-level supervision. Assigns work to and through subordinate supervisors. Exercises full authority and broad scope of responsibility for recommending and approving personnel management actions. For GS employees, this includes establishing performance standards, evaluating

performance, and assigning performance ratings. For Lab Demo employees, this includes assessing contribution and participating in pay pool meetings, as well as preparing and classifying SDEs. Maintains discipline, interviews candidates, recommends appointments, promotions, and reassignments, proactively promotes career development and training for each employee, and initiates and approves other personnel actions, e.g., awards. Evaluates and provides supervisory qualities and skill feedback to subordinate supervisors. Employees placed on Code 2 are subject to the one-year supervisory and managerial probationary period.

1.9.5.3. Code 3 - Manager. Directs the work of an organizational segment through subordinate mid-level and first-level supervisors; has ultimate authority for the organization's policy and accountability for the success of the specific line or staff function directed; assigns work to and through subordinate supervisors. Employees placed on Code 3 are subject to the one-year supervisory and managerial probationary period.

1.9.5.4. Code 4 - 'Limited' Supervisor (CSRA). Exercises authority for ensuring that the work assignments of employees are carried out by performing a range of duties to include: assigning and balancing the technical workload among assigned employees and changing work priorities; reviewing work in progress or upon completion, and amending or rejecting work not meeting established standards; assuring timely accomplishment of the team projects; approving leave for a few hours or for emergencies; reporting employee performance, progress, training needs, and disciplinary problems to the supervisor; effectively recommending performance ratings, recognition and awards, and promotions; and resolving informal employee concerns, while referring others to the supervisor. Air Force Materiel Command (AFMC) guidance indicates the majority of team lead type positions in AFMC meet the intent of CSRA limited supervisor, Code 4. Employees placed on a Code 4 are not required to serve a supervisory and managerial probationary period.

1.9.5.5. Code 5 - Management Official (CSRA). Serves as a non-supervisory manager who is recognized both within and outside the organization as being authorized to formulate, determine, or influence the policies of the agency. Few positions will meet the definition of management official according to current Federal Labor Relations Authority case law. Employees placed on a Code 5 are not required to serve a supervisory and managerial probationary period.

1.9.5.6. Code 7 - Team Leader. Position meets the minimum requirements of the General Schedule Leader Grade Evaluation Guide, Part 2 and is titled with the prefix "Lead." AFMC guidance indicates the majority of team lead type positions in AFMC meet the intent of CSRA limited supervisor, Code 4. If position meets both Code 7 and Code 4, Code 4 is assigned.

1.9.5.7. Code 8 - All Other Positions. Non-supervisory positions and positions that do not meet the definition for any other supervisory code.

1.9.6. Job Category. Weights are assigned to the six CCS factors based upon the job category of the position. The job category is determined based upon the duties that comprise the majority of the position's work. The following job categories are used in Lab Demo:

1.9.6.1. Supervisor or Manager. An individual who has been delegated authority in the interest of the agency to hire, direct, assign, promote, reward, transfer, furlough, layoff, recall, suspend, discipline, or remove employees, adjust grievances, or effectively recommend such actions, if the exercise is not purely routine or clerical in nature but requires the consistent exercise of independent judgment. Work is accomplished through combined technical and administrative direction of others and constitutes a major duty occupying at least 25 percent of the time. An individual who has full authority to direct the work of an organizational segment; accountability for the success of specific line or staff functions; monitors and evaluates the progress of the organization toward meeting goals; and makes adjustments in objectives, work plans, schedules, and commitment of resources.

1.9.6.2. Plans and Programs S&E. An individual who formulates and recommends plans and policies to enable the effective accomplishment of the organizational mission, and studies mission areas, exploratory technologies, and current developmental and operational programs to plan new efforts or establish new performance goals.

1.9.6.3. Program Manager (PM). An individual who plans, advocates, coordinates, and evaluates the developmental activities for a system, subsystem, or component to meet cost, schedule, performance, and supportability criteria as determined by higher authority; and assures surveillance of critical technical program issues through coordination of a variety of functional disciplines and organizational elements. This individual has authority to allocate agency resources to accomplish projects within set milestones.

1.9.6.4. Support S&E. An individual who performs duties in order to provide the facilities, infrastructure, and environment that enables research and development (R&D) to be performed. The duties of a support engineer are not specifically R&D activities but entail planning, providing, managing, and maturing engineering, maintenance, materiel management, communications-computer support, or environmental protection services programs, which are essential for accomplishment of the laboratory mission.

1.9.6.5. Bench Level S&E. An individual whose work is characterized by the systematic application of S&E knowledge in the performance of duties and the planning, formulation, definition, monitoring, management, and evaluation of governmental and contractual work. Most DR-I positions should be coded as bench-level S&E. The individual may be involved in any combination of the following:

1.9.6.5.1. Development work involving advancement of the state-of-the-art in the creation of new or substantially improved components, systems, materials, processes, techniques, and procedures; management of the combined efforts of primarily in-house research efforts to accomplish specific development goals; or performance of experimental and investigative activities to develop new and improved components and to advance technology.

1.9.6.5.1.1. Test and evaluation (T&E) work involving planning, monitoring, and conducting tests of components, materials, and systems; assessing or evaluating test data and results; and preparing reports of findings.

1.9.6.5.1.2. Research work requiring the systematic investigation of theory, experimentation, or simulation of experimentation; application of the scientific method including problem exploration and definition; planning the approach and sequence of steps; execution of experiments and studies; and interpretation and documentation and reporting of findings.

1.9.6.6. Consultant. An individual who provides technical consultation, policy guidance, or technical analysis critical to the mission of the Air Force. Utilizing appropriate analytical results, national consensus standards, federal laws, professional standards of practice, and AF/DoD policies, consultants will provide customers and stakeholders the decision support tools/data required to identify, evaluate, and mitigate risks to individuals or populations of systems.

1.9.7. Functional Classification. Functional classification codes are assigned to S&E positions. The information is used by the National Science Foundation (NSF) and others to study the composition of the workforce engaged in certain kinds of activities. The SPA, with input from the supervisor, will identify the appropriate functional classification based upon the title, series, and duties of the position (i.e., research, T&E, development, etc.). The functional classification categories, definitions, and codes for S&Es are found in **Attachment 4**.

1.9.8. Acquisition Professional Development Program (APDP) Data. The APDP implements the Defense Acquisition Work Force Improvement Act (DAWIA). In determining the appropriate codes, local and AF guidance should be used. The information documented on the SDE is coded into the Defense Civilian Data Personnel System (DCPDS).

1.9.9. Bargaining Unit Status (BUS) Codes. The SPA, with input from the supervisor, assigns the appropriate BUS codes for the position from among the following definitions:

1.9.9.1. Code 0725 - AFGE Local 1942/AFGE Council 214. Applicable for non-supervisory, professional employees at Eglin Air Force Base (AFB) and for non-supervisory, professional employees located at Tyndall AFB serviced by Wright Patterson AFB CPF, and represented by the American Federation of Government Employees (AFGE) Local 1942 (Local 1942 is included in AFGE Council 214).

1.9.9.2. Code 1150 - NFFE Local 1384. Applicable for non-supervisory employees hired into Lab Demo on or after December 12, 2006 serviced by Hanscom AFB CPF and represented by NFFE Local 1384.

1.9.9.3. Code 7777 - Eligible/Not Covered. Describes all other non-supervisory S&E positions.

1.9.9.4. Code 8888 - Ineligible. All positions with a supervisory code of 1 through 5.

1.9.9.5. As additional positions are included in Lab Demo, other codes may become applicable. Supervisors are encouraged to consult with their SPA and servicing personnel specialist upon establishment of new positions.

1.9.10. Duty Title. An optional field for use in providing a more descriptive title of the position's actual responsibilities than the official job title. Duty titles are typically the signature block used by the incumbent (i.e., Chief, Integrations and Operations Division) and should not use Chief or Senior Scientist in any part of the title.

1.9.11. Organization and Function Codes. The SPA, with input from the supervisor, identifies the appropriate organization and function code for the position. This three-letter code combines a two-letter general skill organizational indicator, describing the organizational mission and environment of the position with a single-letter general skill functional indicator identifying the function being performed by the position. Supervisors should consult their SPA and servicing personnel management specialist for assistance when the appropriate code cannot be easily identified from the SDE software.

1.9.12. Skills Codes. The AF currently uses skill code sets within the DCPDS to reflect duties of current positions and previous experiences. Each code represents a specialization within the occupation that is described in classification or qualification standards and agreed upon by functional managers and personnel specialists to be important to staffing patterns and career paths. These codes are used to refer candidates for employment with the AF, placement of current employees into other positions, and selection for training under competitive procedures. To facilitate the movement of personnel into and out of Lab Demo, the traditional AF system of skills coding will continue to be used. It is the responsibility of laboratory supervisors to select appropriate skill code sets to describe the work to be accomplished under the SDE. To assign appropriate skills coding, the primary knowledge, skill, and abilities (KSA) necessary to perform the duties of the position must first be determined. This KSA should also help determine the series of the position. Skill codes should be listed in order of importance. For instance, if the primary KSA is

aerospace engineering, the first skill codes assigned to the position must be aerospace engineering skills. Should assistance be required in determining appropriate skill code sets, contact the servicing personnel management specialist.

1.9.13. Position Sensitivity. Each civilian position within the AF is categorized as either critical sensitive, noncritical sensitive, or nonsensitive. The following constitutes the criteria by which a supervisor designates position sensitivity:

1.9.13.1. Critical Sensitive. These positions meet one or more of the following conditions: access to top secret information; development or approval of plans, policies, or programs that affect the overall operations of DoD or its components; development or approval of war plans, plans, or particulars of future major or special operations of war, or critical and extremely important items of war; investigative and certain investigative support duties, issuance of personnel security clearances or access authorizations, or making personnel security determinations; fiduciary (e.g., contracting officers, etc.), public contact, or other duties demanding the highest degree of public trust; duties falling under special access programs; automated data processing one (ADP-1) program positions; or any other position so designated by the Secretary of the Air Force (SECAF) or designee.

1.9.13.2. Noncritical Sensitive. These positions meet one or more of the following conditions: have access to secret or confidential information; security police-type duties involving the enforcement of law and security duties relating to the protection and safeguarding of AF personnel and property; automated data processing two (ADP-2) program positions; duties associated with the education and orientation of DoD personnel; duties involving the design, operations, or maintenance of intrusion detection systems deployed to safeguard DoD personnel and property; or any other positions designated by the SECAF; unescorted entry to restricted or other sensitive areas designated by the commander.

1.9.13.3. Nonsensitive. All positions not designated critical sensitive or noncritical sensitive are designated as nonsensitive.

1.9.14. Drug Testing. In determining the appropriate AF civilian drug testing codes, local and AF guidance should be used. The information documented on the SDE is coded into DCPDS.

1.9.15. Fair Labor Standards Act (FLSA). The occupational series and grade equivalencies covered by Lab Demo describe S&Es employed in bona fide professional capacities. As such, the positions covered are, almost without exception, exempt from the FLSA of 1938, as amended. When in doubt, SPAs should contact their servicing personnel specialist to determine whether the specific position is FLSA exempt or not.

1.9.16. Emergency Essential & Key Position Status. SPAs, with input from the supervisor, identify the position as emergency essential or as a key position in coordination with their servicing personnel specialist.

1.9.16.1. Emergency Essential Civilian Position. A position that would be transferred overseas during a crisis situation or which requires the incumbent to perform temporary duty (TDY) assignments overseas during a crisis in support of a military operation. The position ensures the success of combat operations or supports essential combat systems after a mobilization, evacuation order, or other military crisis (AFI 36-507, *Mobilization of the Civilian Work Force*).

1.9.16.2. Key Position. A position in the United States (US) or US territories that must be filled during a national emergency or mobilization, and which, if vacant, would seriously impair the functioning of the Federal agency or office (AFI 36-507). All key positions are identified during the base-level planning process and are designated as such in the manpower data system and DCPDS.

1.9.17. Financial Disclosure Statement. Personnel within AFRL may become actively involved, either personally or as a member of a team, with the government procurement of research programs, supplies, materials, support, etc. Laboratory employees might also be responsible to the government for administering grants, for regulating and overseeing non-Federal entities, and for performing other activities having economic impact on non-Federal entities. In accomplishing these duties, it is imperative that the government, (i.e., Federal employees), demonstrate the highest moral standards and conduct. There must be neither a conflict-of-interest nor even the appearance of one. To protect the government and its employees, laboratory supervisors and managers are required to designate positions throughout the broadband levels in which the nature of duties may involve a potential conflict of interest. Incumbents on these positions are required to submit an Office of Government Ethics (OGE) Form 450, *Confidential Financial Disclosure Report*, annually. Supervisors identify those positions required to submit this report in conjunction with their servicing Staff Judge Advocate (SJA).

1.9.18. Career Field Management. Non-supervisory and non-managerial positions are exempt from career field management coverage. Supervisory DR-III and DR-IV positions are covered by career field management, but filling positions through the career field management procedures is optional.

1.9.18.1 The scientist and engineer career field (SECF) covers most S&E broadband Level III and IV supervisory and management positions within AFRL. Based on the occupational series, supervisory level, and broadband level assignment, the position may be covered by one of the other career fields listed in **Table 1.4**.

Table 1.4 Career Field Listing.

Civil Engineering Career Field (CECF)		
	<u>Primary Series</u>	<u>Shared Series</u>
	0808 - Architect	0401 - General Biological Scientist*
	0810 - Civil Engineer	0801 - General Engineer
	0819 - Environmental Engineer	0830 - Mechanical Engineer
		0850 - Electrical Engineer
		1301 - Physical Scientist*
*Only for those positions directly involved with environmental assignments.		
Communication & Information Career Field (CICF)		
	<u>Primary Series</u>	<u>Shared Series</u>
		0854 – Computer Engineer
		0855 – Electronics Engineer
		1550 – Computer Scientist
Financial Management Career Field (FMCf)		
	<u>Primary Series</u>	<u>Shared Series</u>
		1515 - Operations Research Analyst
Manpower Career Field (MCF)		
	<u>Primary Series</u>	<u>Shared Series</u>
		0896 - Industrial Engineer
Safety Career Field (SCF)		
	<u>Primary Series</u>	<u>Shared Series</u>
	0803 - Safety Engineer	

1.9.18.2. As indicated above, only a portion of Lab Demo positions are covered by career field management, but coding of the career field ID and centrally managed position type is required for all positions.

1.9.19. Competitive Level. The laboratory, in conjunction with the servicing CPF, establishes competitive levels consisting of all positions in a competitive area that are in the same broadband level and occupational family. That is, positions, which are similar enough that the incumbent of one position could succeed in the new position without any loss of productivity beyond that normally expected in the orientation of any new, but fully qualified, employee. The CPF will assign appropriate competitive level codes.

1.9.20. Documentation Requirements. The original SDE and all supporting documentation (i.e., supplemental information produced from SDE software, position duties, old position descriptions [PDs], etc.) will be maintained in the operations office of each directorate. Annual recertification of the SDE should be accomplished, using the employee signature area on the addendum page of the SDE. Cancelled original SDEs must be maintained for a period of two years from the date they become inactive.

1.10. Prior to submitting the classified SDE and Request for Personnel Action (RPA), SPAs must ensure an authorized position or an approved over strength exists.

1.11. A new SDE should be created and a new CPCN assigned in instances where an employee's occupational series, title, and major duties (skill codes) are changed. When an employee leaves a position, there is no requirement to accomplish a new SDE unless the organization intends to fill the vacancy at a different broadband level or occupational series than the vacated position. The new SDE should be established at a broadband level that supports the mission of the organization and is based upon expected contribution.

1.12. For CCS-driven movement to adjacent broadband levels, a new SDE must be created reflecting the new broadband level, CPCN number, title, and factors. The occupational series and skill codes should not change. The job category and APDP coding should be reviewed in order to determine if changes are necessary. Questions on potential APDP impacts to broadband moves should be addressed to the SPA. The original SDE is maintained by the directorate operations office. A copy of the new SDE will be forwarded to the servicing CPF.

1.13. Classification Appeals. Under Lab Demo, an employee may, at any time, appeal the occupational series and title of the official position to which assigned. As there is only one pay plan DR for all S&E personnel within Lab Demo, the employee's pay plan may not be appealed. Employees may grieve the broadband level to which assigned according to the grievance procedures in the CCS section of the operating guide. **Note:** Supervisors are prohibited from discouraging or dissuading employees from filing a grievance or an appeal (either formal or informal). Supervisors are also forbidden to retaliate, redress, or seek retribution, in any form, against an employee who chooses to appeal or grieve.

1.13.1. Informal Appeal. The first stage for appealing a classification decision is an informal appeal filed through the organizational chain of command to the pay pool manager (PPM). The PPM may obtain advice and guidance from the servicing CPF in an attempt to resolve the dispute at the lowest possible level. If an agreeable resolution cannot be reached, the employee retains the right to file a formal appeal.

1.13.2. Formal Appeal. Formal appeals should be forwarded to AFRL/CC through AFRL Directorate of Personnel, Workforce Effectiveness Division (AFRL/DPL). An employee retains the right for further appeal to the OPM through the DoD Civilian Personnel Management Service (CPMS). Appeals adjudicated by OPM are final.

1.13.2.1. When a formal appeal is filed, the classification official, in consultation with the supervisor and servicing CPF, will submit a documented evaluation for the assigned occupational series and title. The following information, supplied by the appellant, supervisor, and servicing CPF, is included with the evaluation package.

1.13.2.1.1. Appellant and Appellant Representative Identification. Appeals will include the appellant's name, mailing address, office telephone, and fax numbers, as well as a signed statement designating the appellant's representative, if any. Group appeals must identify all members of the group by name, mailing addresses,

office telephone numbers, and fax numbers. Group appeals must also include a signed statement from all members designating a representative, if any.

1.13.2.1.2. Appellant Representative Address. Name, address, business telephone, and fax numbers of the appellant or group representative, if any, must be included.

1.13.2.1.3. Employer and Position Address. The official location of the appellant's position (installation name, mailing address, organization, division, branch, section, unit, etc.) must be identified.

1.13.2.1.4. Appellant's Organizational Documentation. The official location of the position, including accurate organizational charts and mission and function statements, should be provided.

1.13.2.1.5. Appellant's Official Documentation. Complete identification of the appellant's occupational series and title, along with a copy of the official SDE, must be supplied.

1.13.2.1.6. CCS Broadband Level Descriptors. The CCS level descriptors, with associated factors and key elements, for the position should be provided.

1.13.2.1.7. Appellant's Official SDE Accuracy Statement. A certified statement from the appellant concerning the accuracy of the SDE must be included.

1.13.2.1.8. Organization's Statement of SDE Accuracy. A current (not older than 90 days) signed statement from the immediate supervisor or higher-level management official, who does not have classification authority for the appellant's SDE, certifying that the SDE is complete and accurate is required.

1.13.2.1.9. Official Personnel Action. A copy of the appellant's latest Standard Form (SF) 50, *Notification of Personnel Action (NPA)*, must be included.

1.13.2.1.10. Appellant's Current and Requested Position Information. The appellant's current and requested occupational series and title must be identified.

1.13.2.1.11. Technical Rationale. The appellant must identify the reasons they believe that the occupational series and title, as classified, is in error. The appellant should refer to position classification standards that support the appeal and should state specific points of disagreement with the evaluation statement. The

appellant may also include a statement of facts that they feel may affect the final classification decision.

1.13.2.1.12. Appellant's Claim of Classification Inconsistency. If classification inconsistency is claimed, the appeal must include the title, series, and broadband level of positions whose occupational series and title are believed classified inconsistently with the appellant's. The positions cited must have essentially the same series controlling duties and responsibilities as those of the appellant. Specific location of the position(s), including the activity and organization(s) to which they are assigned and if possible, the names of the incumbents of these positions should be included. The rationale for citing the positions including evidence that the cited position responsibilities and duties are essentially identical to those of the appellant, must be supplied.

1.13.2.1.13. Response of Appellant Issues. An evaluation and response by the individual with classification authority for the appellant's SDE to any classification issues presented in the appellant's appeal must be provided.

1.13.2.1.14. Other Information. Any supplementary information with bearing on the appellant's duties and responsibilities used in determining the occupational series and title should be provided.

1.13.2.1.15. Supervisory Documentation. A copy of the SDE for the official position, to which the appellant's immediate supervisor is assigned, if applicable, should be included.

1.13.2.1.16. Servicing Activity Address. Name, address, business telephone, and fax numbers of the individual within the organization who has classification authority for the appellant's SDE, as well as a POC within the servicing CPF who is providing advice and guidance to the above-stated individual, must be included.

Chapter 2

STAFFING AND AFFIRMATIVE EMPLOYMENT

2.1. Introduction.

2.1.1. Lab Demo positions in broadband levels I through III will be filled using the procedures described in this chapter. Refer to Air Force Manual (AFMAN) 36-203, *Staffing Civilian Positions*, for instructions on filling broadband level IV positions. Movement between adjacent broadband levels due to the CCS assessment is addressed in the CCS chapter (refer to **Chapter 4**).

2.1.1.1. To complete necessary staffing actions, Lab Demo will be allowed a nine-month grace period from the inception of a hiring freeze, with the understanding that they must manage to budget. Further, budget authority will not be removed from Lab Demo if they fall below full-time equivalent (FTE) limits while aggressively reshaping their workforce.

2.1.1.2. With regard to the Priority Placement Program (PPP), Lab Demo will have a streamlined process for rapidly resolving any disagreements regarding qualification levels of PPP registrants. This process, as described below, will be used for the duration of Lab Demo.

2.1.1.2.1. Description of PPP System. This process will be used for all PPP eligible placements for Lab Demo.

2.1.1.2.2. The PPP refers a candidate from a “sending” activity for an open position in a “gaining” laboratory. This candidate is considered as follows.

2.1.1.2.2.1. The candidate’s qualifications are considered by the CPF at both activities and by the receiving lab manager.

2.1.1.2.2.2. The candidate is hired if all agree that the candidate is qualified and dropped from consideration if all agree that the candidate is not qualified for the open position.

2.1.1.2.2.3. If the lab manager believes that the candidate is not qualified, the case is referred to an activity-level review, which is conducted by the PPP regional coordinator(s), a subject matter expert (SME) from each activity, chosen by the lab and activity manager, and the civilian assistance re-employment (CARE) director, who also serves as facilitator.

2.1.1.2.2.4. The results of the activity-level reviews must be unanimous, that is, the regional coordinators, SMEs, and

CARE director must agree to either hire the candidate or remove the candidate from consideration. Ten working days from the CARE director's receipt of the appeal are allowed for this review.

2.1.1.2.2.5. If there is disagreement or no action has been taken within ten working days, the lab manager may request review by the Office of Secretary of Defense (OSD) Assistant Secretary of Defense for Force Management Policy (ASD/FMP) and the Director of Defense Research and Engineering (DDR&E) or their representatives, and a mutually chosen third party knowledgeable about the requirements of the job. Ten working days are allowed to choose the third party. The matter is then resolved by a majority vote. Ten working days are allowed for this process starting from the joint selection of the third party, after which the lab manager's appeal is automatically allowed if no action has been taken.

2.1.1.2.2.6. To expedite hiring, CPFs must process qualification determinations on PPP referrals concurrently rather than sequentially. Only candidates (including PPP referrals) who are available when an in-service referral listing (Certificate of Applicants) is issued will constitute the pool from which a selection is made.

2.2. Filling Positions.

2.2.1. At the time management decides to fill a position and determines that a valid manpower authorization or approved overhire exists; the servicing CPF will be notified of the intent to fill. An RPA, SDE, KSAs, and statement of special job requirements, if applicable, must be submitted with all fill requests. A flowchart of the process is shown at **Attachment 5**.

2.2.2. The CPF will clear priorities in accordance with AFMAN 36-203 as they apply to Lab Demo. All S&E positions covered by Lab Demo are subject to clearing the DoD PPP unless otherwise exempted under existing PPP procedures and the Interagency Career Transition Assistance Plan (ICTAP). Vacant positions will be cleared at GS-11 for level I, GS-13 for level II, GS-14 for level III, and GS-15 for level IV for both DoD and AF priorities. For external hiring, the DoD PPP will be considered cleared at the time of a valid job offer.

2.2.3. Roles and Responsibilities.

2.2.3.1. Supervisor will contact SPA at the earliest opportunity; will participate in pre-planning meeting; will prepare input data describing job, KSAs, etc.; and respond promptly when certificate is issued.

2.2.3.2. SPA will be single point of contact (POC) for supervisors; will coordinate with other Human Resources assets to develop best avenue for filling position; will be POC for pre-planning meeting; will develop required documents based on selecting supervisor's inputs; will track milestones throughout the hiring process; and will report milestones and rework data to AFRL/DPL quarterly.

2.2.3.3. Servicing Civilian Personnel Flight and/or the Delegated Examining Unit will participate in the planning meetings; process actions submitted as expeditiously as possible; report rework requirements to AFRL/DPL.

2.3. Recruitment, Relocation, and Retention (RRR) Incentives (Federal Workforce Flexibility Act [FWFA] of 2004 formerly known as Federal Employee Pay Comparability Act [FEPCA] Entitlements). Section 101 of the Federal Workforce Flexibility Act of 2004 amended Sections 5753 and 5754 of Title 5, United States Code, by providing new authorities to make RRR payments, previously covered under the FEPCA. The AF waiver, given to Lab Demo delegating approval authority for RRR incentives under FEPCA to AFRL/CC, remains in effect for these same authorities under the Federal Workforce Flexibility Act. PPMs in AFRL are further delegated authority to approve and to act otherwise to execute and administer the provisions of the RRR incentives. TD Directorate SPAs should be contacted for guidance on required documentation.

2.4. Internal Merit Promotion.

2.4.1. Lab Demo was granted a waiver that provides an exemption to standard merit promotion procedures and authority to use alternative means to screen and rank candidates for S&E positions. Positions at Level IV are excluded from this initiative.

2.4.2. Under the broadbanding concept, managers are provided greater flexibility in assigning duties within their organizations. The SDE is deliberately broad to allow for ease of moving people within broadband levels. When managers decide to look for candidates outside the laboratory, or outside the broadband level of the vacant position, the merit promotion procedures outlined in this instruction will be used. The laboratory is committed to positive affirmative action and equal employment opportunity (EEO) goals. Line managers will be accountable for understanding and implementing policies designed to meet these goals. The installation's Affirmative Employment Plan is an excellent resource in identifying areas of under-representation. The directorate SPA and servicing CPF is also available to assist supervisors in this area, upon request.

2.4.3. Managers must keep employees informed of promotion and advancement opportunities. Maximum use of computerized bulletin board systems should be considered. Laboratory managers will request, review, screen, rank, and select candidates.

2.4.4. The servicing CPF will provide the manager a list of candidates (ranked or unranked) from various sources and provide other support upon request. The waiver to the internal merit promotion system permits selecting officials to consider all candidates (i.e., not limited to 15) and to select the best ranking methodology. Rating and ranking criteria are used at the discretion of the selecting official. If no formal ranking procedures are used, the selecting official must document the source of candidates, names and pertinent information on the candidates considered (sufficient detail to meet litigation needs), and the selecting official's logic in deciding why the selectee was the best candidate for the job. Interviews may be required depending upon type of position being filled (for example, Division/Branch Chief and Technical Advisor positions). Directorate SPA should be contacted for guidance on specific interview requirements. A notice of personnel action (NPA) will be generated by the servicing CPF to complete the action after a selection has been made.

2.4.5. Lab Demo employees selected for positions at a higher broadband level will receive the salary corresponding to the minimum of the new broadband level or their existing salary, whichever is greater.

2.5. Determining Basic Requirements. Managers will determine the basic eligibility requirements using OPM's "Qualification Standards Handbook for General Schedule Positions." Broadband level I minimum eligibility requirements will be the GS-07 qualifications. Broadband level II minimum eligibility requirements will be one year in broadband level I or 1 year of equivalent GS-11 qualifying experience. Broadband level III minimum eligibility requirements will be one year in broadband level II or 1 year of equivalent GS-13 qualifying experience. As allowed by OPM qualification standards, education may be substituted for experience.

2.6. Determining Available Sources of Candidates. Managers may use various sources in filling positions. Use of career field management to fill Lab Demo positions is optional. Managers may also select from other appropriate sources to meet mission and EEO objectives.

2.7. Reviewing and Screening Candidates. Managers review candidates for basic qualifications. Managers may review official personnel folders (OPFs), request career briefs, and resumes, etc. Applications will then be screened for specific job requirements. The selecting official may consider all basically qualified candidates or may request that the servicing CPF screen the candidates and refer a list of only the best qualified people.

2.8. Ranking Candidates.

2.8.1. When it is determined that ranking criteria may be appropriate (volume of applicants or large numbers of high quality eligibles), the selecting official may select from any viable and supportable job related merit based methodology. Such choices may include, but are not limited to the following:

2.8.1.1. Grouping eligibles into categories based on job related factors (for example: best-qualified, highly qualified, and eligible using combinations of specialized experience and education related to the particular position).

2.8.1.2. Point value rating and ranking where criteria are predefined with weights, benchmarks, and anchors (this method is well suited to ratings by panels).

2.8.1.3. While Lab Demo affords managers greater flexibility in this area, employee grievance and appeal rights are preserved. Managers should, therefore, document why a particular ranking process was selected or the rationale for not ranking candidates; in sufficient detail to establish an audit trail should a third party review be required.

2.9. Selecting Candidates.

2.9.1. Interviewing Candidates. Interviews are required when filling a division or branch chief vacancy, as well as technical advisor positions, otherwise interviewing candidates is optional. Directorate SPA should be contacted for guidance on specific interview requirements.

2.9.2. Completing Selection Process. The selecting official forwards the completed merit promotion certificate and supporting documentation to include rating and ranking criteria, interview questions, etc., to the servicing CPF for processing of the fill action.

2.10. Documentation and File Maintenance. The documentation in the case file (merit promotion file and job analysis file) should include: the merit certificate, manual requests for self-nominations, interview questions, the template, and a copy of the SDE. The servicing CPF is responsible for the maintenance and disposition of the merit promotion and job analysis file. If a grievance or complaint is in process the file must be retained until final resolution.

2.11. Selections Not Subject to Merit Promotion Procedures.

2.11.1. Detail. Managers may detail an employee within a directorate, to another directorate, or to another organization without competition when the proposed action is to a position in the same or lower broadband level or same or lower equivalent grade. (**Note:** Division/branch chief and technical advisor positions cannot be filled using this procedure as interviews are required). Details are made in increments of not more than 120 days, for up to a maximum of 1 year. A detail lasting more than 1 year can only be

made in extraordinary circumstances and requires written justification from the supervisor. In no case can a detail last more than 2 years. Details to a higher broadband level of higher equivalent grade can only be made for a maximum of 120 days unless processed under merit promotion procedures. Employees do not have to meet experience requirements to be detailed, but they must meet the educational requirements specified in the OPM "Qualifications Standards Handbook." The employee's existing rate of pay is not affected by a detail action.

2.11.2. Reassignment. With concurrence of the gaining and losing supervisor, managers may reassign an employee within a directorate or from another directorate without competition when the proposed action is to a position in the same broadband level. (**Note:** Division/branch chief and technical advisor positions cannot be filled using this procedure as interviews are required). Similarly, a GS or National Security Personnel System (NSPS) employee may be reassigned into Lab Demo, without competition, when reassigning to a broadband that covers the GS grade or NSPS broadband level (refer to **Table 2.1**). The employee must be fully qualified, and the employee's pay will not be affected by a reassignment action within the same geographic locality, except for those employees entitled to a within-grade increase (WGI) buy-in. However, if a geographic move is involved, an employee's total adjusted pay may change based upon the locality pay for the new geographic area.

2.11.3. Temporary Promotion. A qualified employee may be temporarily promoted to a vacant position in a higher broadband level for a specified period of time not to exceed 120 days without using merit promotion procedures. (**Note:** Division/branch chief and technical advisor positions cannot be filled using this procedure as interviews are required). Temporary promotions exceeding 120 days must be filled using Lab Demo competitive merit promotion procedures. Under Lab Demo, Lab Demo employees selected for temporary promotion to a Lab Demo position will receive their existing salary or the minimum salary of the new broadband level, whichever is greater. Upon completion of temporary promotion employees will be returned to their former or like position and pay will be determined based upon the employee's previous rate of pay plus any annual CCS compensation adjustments given during the temporary promotion period.

2.11.4. Change to Lower Grade. A change to lower grade within a directorate, or to another directorate, or to another organization may be accomplished without competition. (**Note:** Division/branch chief and technical advisor positions cannot be filled using this procedure as interviews are required). A GS or NSPS employee may request a change to lower grade into Lab Demo without competition when the lower grade encompasses the GS grade or NSPS broadband level. The employee must be fully qualified.

2.12. Consideration of External Candidates. Management needs to identify the manner in which they wish to fill the vacancy, i.e., OPM, delegated examining unit (DEU), or any other traditional source of candidates. DEU authority has been delegated to Wright Patterson Air Force Base (WPAFB) CPF. Packages submitted for DEU processing must include an RPA, SDE, KSAs, supplemental information for preparation of the job analysis, rating criteria, and

specialized experience statement, and other required documentation. Directorate SPA should be contacted for guidance on specific documentation requirements.

2.13. Pay-Setting.

2.13.1. Conversion to Lab Demo.

2.13.1.1. This section applies in situations where encumbered positions are acquired by Lab Demo. It does not apply to competitive or noncompetitive placement of individuals onto vacant Lab Demo positions.

2.13.1.2. Initial entry into Lab Demo will be accomplished through a full employee protection approach that ensures each employee an initial place in the broadband without loss of pay. GS employees will be converted in their existing series to the broadband level commensurate with their existing grade or total salary, whichever is greater. Employees in a pay banding system will be converted in their existing series to the broadband level commensurate with their existing basic salary. If the salary falls in an overlap zone, the employee is placed in the lower broadband.

2.13.1.3. Employees serving on temporary promotions or on details will be converted into Lab Demo based on their permanent position.

2.13.1.4. All Lab Demo employees will be eligible for the future locality pay adjustments of their geographical area. Adverse action and pay retention provisions will not apply to the conversion process, as there will be no change or loss in total salary.

2.13.2. Special Rates. Special salary rates are neither applicable to nor appropriate for Lab Demo. Employees on special salary rates at the time of conversion will receive a new basic pay rate computed by dividing their total salary (i.e., higher of locality rate or special rate) by the locality pay factor for their area. A full locality adjustment will then be added to the new basic pay rate. The formula is:

New basic pay rate = total adjusted salary/new total adjusted salary
(1 + geographic specific locality pay factor) = new basic pay rate x (1 + geographic specific locality pay factor).

2.13.3. WGI/Step Buy In. The WGI or step increases inherent in the GS system are discontinued under Lab Demo. In order to compensate employees equitably upon conversion of their position into Lab Demo, employees will receive a prorated portion of their next WGI at implementation. The amount is computed by summing the product of the step increase for the employee's current grade and ratio of employee's time in step to nominal time between steps to the current salary for the individual employee's grade and step. Employees coming from systems without established WGI schedules, such as NSPS or administratively determined (AD) pay plans, will not receive a step buy in.

2.13.3.1. New basic pay = (time in step/time between steps) x step increase + current basic pay. For example, an employee is a GS-12 step 4. The nominal time between steps 4 and 5 is 24 months (730 days). Assuming that at implementation the employee has earned (645/730) (645/730 = days already served in Step/days in 24-month timeframe) of a WGI, this employee's new salary will include the GS-12 step 4 basic pay of \$60,895 plus (645/730) of the \$1,845 WGI (\$1,630.17) and equal \$62,525.

2.13.4. WGIs. Progression under CCS is based on merit; there are no scheduled WGIs in Lab Demo. Service under Lab Demo is creditable for WGI purposes upon movement back to the GS pay system. CCS assessment increases (including a zero increase) under Lab Demo are equivalent increases for the purposes of determining the commencement of a WGI waiting period.

2.13.5. New Appointments into Federal Service.

2.13.5.1. New hires into Federal service entering Lab Demo will have their initial pay set at a level consistent with the individual's academic qualifications, experience, and expected level of contribution.

2.13.5.2. Laboratory management will determine the salary of individual candidates based on academic qualifications, skills, and experience. Based upon that information, an estimate of the expected contribution level of the new employee should be made and the salary assigned should place the employee on the standard pay line (SPL). Criteria used to determine initial salaries should be well documented and maintained by the operations office in each directorate.

2.13.5.3. Laboratory management should be cognizant of the ramifications of assigning an unreasonably high expected level of contribution and high starting salary. An employee with a lower starting salary may be assessed in the under compensated zone during the first CCS cycle and receive an appropriate incentive increase at that time, while an employee with a high starting salary who does not contribute at the expected level may be assessed in the automatic attention zone (AAZ).

2.13.6. Voluntary Movement into Lab Demo.

2.13.6.1. Current Federal employees not part of Lab Demo, coming from other pay schedules (GS, AD, etc.) by other than reassignment or transfer, will have their salary established within the broadband based on academic qualifications, experience, and expected level of contribution. If the employee's pay exceeds the maximum rate of the broadband, salary will be set at the maximum rate.

2.13.6.1.1. Current Federal employees who enter Lab Demo by lateral reassignment or transfer will be subject to parallel pay conversion rules, meaning they will enter Lab Demo at their existing

rate of pay (plus a WGI buy-in if applicable) or the minimum salary for the broadband, whichever is greater.

2.13.6.1.2. Cooperative education (co-op) employees moving into Lab Demo will be treated as newly hired personnel for pay setting purposes, giving management the authority to set salary based on academic qualifications, experience, and expected level of contribution, rather than automatically being set at the minimum of broadband level I.

2.13.6.1.3. For employees coming from another pay banding system into Lab Demo the following will be used to determine the appropriate nature of action. (Refer to **Table 2.1.**)

Table 2.1 Nature of Action (NOA) Determination Table.

Promotion	Reassignment	Change to Lower Grade
Placement in an AFRL broadband level, which includes a GS grade level that is higher than the highest GS grade level included in the career level/pay band from which the employee is being moved.	Placement in an AFRL broadband level wherein the highest or lowest GS grade included is the same as the highest or lowest GS grade level included in the career level/pay band from which employee is being moved.	Placement in an AFRL broadband level wherein the <i>lowest</i> GS grade included is lower than the <i>lowest</i> GS grade level included in the career level/pay band from which the employee is being moved.

2.13.6.2. Special Rates.

2.13.6.2.1. For employees on special salary rates who transfer into Lab Demo, their basic pay rate will be set by dividing their total adjusted salary (i.e., higher of locality rate or special rate) by the locality pay factor for their area. A full locality adjustment will then be added to the new basic pay rate. The employee's total salary should not change, unless their corresponding maximum base salary exceeds that associated with their broadband level. The formula is:

New basic pay rate = total adjusted salary/new total adjusted salary
 $(1 + \text{geographic specific locality pay factor}) = \text{new basic pay rate} \times (1 + \text{geographic specific locality pay factor}).$

2.13.6.2.2. Special Rates with a Geographic Move. For employees on special salary rates who geographically relocate into Lab Demo, their new basic pay rate will be set by dividing the higher of their basic special salary rate or the total adjusted salary for the same grade and step of the GS in the new locality, by the new locality pay factor. A full locality adjustment will then be added to the new basic pay rate. The formula is as follows:

New basic pay rate = higher of (1) basic special rate or (2) total adjusted salary in new locality / (1 + new geographic specific locality pay factor). New total adjusted salary = new basic pay rate x (1 + new geographic specific locality pay factor).

2.13.7. Movement into Lab Demo Based on PPP Entitlement. The provisions of 5 Code of Federal Regulations (CFR) 536.103 through 536.105 (pay and grade retention) have been waived for Lab Demo, to include internal priority placement entitlements associated with pay and grade retention. However, employees placed in Lab Demo through PPP will be entitled to maintain their existing rate of basic pay. Future compensation adjustments will be based upon the CCS assessment process and will be adjusted accordingly.

2.13.8. Voluntary Movement Out of Lab Demo. Employees who leave Lab Demo and return to the another pay system via reassignment, promotion, change to lower grade, or transfer are subject to parallel pay conversion rules to determine the converted GS and broadband level. Actual pay setting is determined by the gaining agency.

2.13.9. Conversion Back to the Federal Civil Service System. In the event Lab Demo ends, a conversion back to the Federal civil service system will be required. All employees in a broadband level corresponding to a single GS grade will be converted to that grade. Employees in a multiple grade broadband level will be considered to have attained the next higher grade when they have been in the level at least 1 year and their salary equals or exceeds the minimum salary of the higher grade. To set GS pay upon conversion, an employee's Lab Demo locality adjusted salary will be converted (prior to leaving the project) to the highest GS rate range (i.e., locality rate range or special rate range) applicable to the employee. If the employee's rate falls between two steps, the higher is given. If the employee's salary exceeds step 10 upon conversion out of Lab Demo, pay retention should apply.

2.13.10. Documenting Personnel Actions. The information in **Table 2.2** may be used to document personnel actions for Lab Demo, including the nature of action and authority code. The remarks codes may be found in **Table 2.3**.

Table 2.2 Personnel Actions Required for Hiring.

Type of Action	NOA Code	Nature Of Action (NOA)	Authority Code
Appointment			
Regular Career Appointment	100	Career Appt	*Z2U/P.L. 103-337
Contingent Appointment	108	Term Appt Nte	*Z2U/P.L. 103-337
Temporary Appointment	115	Temporary Appointment Nte	*Z2U/P.L. 103-337
Transfer	130	Transfer	*Z2U/P.L. 103-337
Reinstatement	140	Reins Career	*Z2U/P.L. 103-337
Excepted Appointment	170	Excepted Appointment	*Z2U/P.L. 103-337
Conv to Career Appointment	500	Conv to Career Appt	*Z2U/P.L. 103-337
Conv to Contingent Appointment	508	Conv to Term Appt Nte	*Z2U/P.L. 103-337
Conv to Temporary Appointment	515	Conv to Temporary Appt Nte	*Z2U/P.L. 103-337
Conv to Reinstatement	540	Conv to Reinstatement Career	*Z2U/P.L. 103-337
Conv to Excepted Appointment	570	Conv to Excepted Appt	*Z2U/P.L. 103-337
Competitive Promotion			
Permanent (into Demo)	702	Promotion	Z2U/P.L. 103-337
Temporary (into Demo)	703	Promotion Nte	Z2U/P.L. 103-337
Permanent (within Demo)	702	Promotion	Standard Auth
Temporary (within Demo)	703	Promotion Nte	Standard Auth
Detail			
Detail Nte	930	Detail Nte	Standard Auth
Extension	931	Ext Of Detail Nte	Standard Auth
Termination	932	Termination Of Detail	Standard Auth
Retention Incentives			
Recruitment	815	Recruitment Incentive	Standard Auth
Relocation	816	Relocation Incentive	Standard Auth
Retention	827	Retention Incentive	Standard Auth
Reassignment			
Permanent (into Demo)	721	Reassignment	Z2U/P.L. 103-337
Permanent (within Demo)	721	Reassignment	Standard Auth

*On appointment actions, use of dual legal authority codes (LAC) is appropriate, documenting Z2U as the first authority code when used in combination with other LACs.

Table 2.3 Remarks Codes Used for Hiring into Lab Demo.

Situation	Remarks Code	Remark
If employee has completed required probationary period prior to entering Lab Demo:	E04	Initial probationary period completed
If employee is serving a one-year probationary period upon entering Lab Demo:	E18	Appointment is subject to completion of one-year initial probationary period beginning (date)
If employee has completed the service requirement for career tenure:	T07	Completed service requirement for career tenure from (date) to (date)

Chapter 3

PROBATIONARY PERIOD

3.1. Introduction. The current one-year probationary period will be extended to three years for newly hired regular career employees. The purpose of extending the probationary period from one year to three years is to allow supervisors sufficient time to properly, objectively, and completely evaluate an employee's contribution and conduct within the laboratory workplace environment. The motivation behind this assessment is to determine whether the employee should be retained. Because of Merit Systems Protection Board (MSPB) decisions, employees with one year of service may be entitled to full substantive and procedural rights as it relates to removals even though they are serving a three-year probationary period.

3.2. Exclusions. Current Federal employees, who enter the Lab Demo, while serving a probationary period, are required only to complete the existing period of probation when the service is in the same line of work. Prior Federal civilian service counts toward completion of probation when the service meets the criteria specified in 5 CFR 315.802. Prior to the end of the three-year period, the servicing CPF will send the necessary paperwork to the supervisor with sufficient lead-time to effect the transition off probation. If the employee is contributing at an adequate level and there are no other issues (i.e., proper conduct, etc.), then no action is required. (Refer to paragraph **3.3.** if management is planning to terminate the probationary employee.) A NPA will document a change in tenure group and the end of the probationary period. (Refer to **Table 3.1.**)

3.2.1. Contingent employees (employees serving a time-limited appointment) will serve a one-year trial period. Contingent employees who are converted to regular career status will begin the three-year probationary period on the date of conversion to career status.

3.3. New Hire Termination During Probationary Period. Probationary employees will be terminated when the employee fails to demonstrate proper conduct, technical competency, and/or adequate contribution for continued employment. When a supervisor decides to terminate an employee during the probationary period, the employee shall receive written notification of the reasons for separation and the effective date of the action. Supervisors should contact their servicing CPF for assistance as soon as they decide they may want to terminate the employee. The information in the notice as to why the employee is being terminated shall, as a minimum, consist of the supervisor's rationale as to the inadequacies of the employee's contribution or conduct, and procedures for appeal. Note: Probationary employees who have completed 1 year of service may be entitled to full substantive and procedural rights as it relates to removals even though they are serving a three-year probationary period.

3.4. Tenure Groups. Employees appointed to a career appointment requiring the three-year probationary period will be in tenure group two for the duration of the probationary period. At the end of the probationary period, the tenure group will convert to one. Current career-conditional employees serving a one-year probationary period will convert to a career appointment upon entering the Lab Demo and will be in tenure group two until the completion of the one-year probationary period. At the end of the probationary period, the tenure group will

convert to one. Career-conditional employees who have completed the one-year probationary period will convert to a career appointment and will be in tenure group one. All contingent appointments will be in tenure group three.

Table 3.1 Processing Instructions for Personnel Actions – Required Probationary Period .

Type Of Action	NOA Code	Nature of Action (NOA)	Authority Code
Completion of three-year probationary period	880	Chg in tenure group	Standard Auth
Termination during probationary period	385	Termination during prob/trial Period	Standard Auth

Table 3.2 Remarks Codes Used for Personnel Actions.

Situation	Remarks Code	Remark
If employee has completed required probationary period:	E04	Initial probationary period completed
If employee is serving a one-year probationary period in the same line of work upon entering the lab demo or if employee is a newly appointed preference-eligible :	E18	Appointment is subject to completion of one-year initial probationary period beginning (date)
If employee is required to serve a three-year probationary period under the lab demo rules:	9A1	Appointment is subject to completion of three-year initial probationary period beginning (date). You will be in tenure group 2 until you complete the three-year probationary period that began (date); then you will be changed to tenure group 1
If employee is required to serve a three-year probationary period under the lab demo rules and has completed one year of federal service:	Local Remark	Since employee has completed one-year of continuous service, employee may be entitled to full substantive and procedural rights afforded non-probationary employees.
If employee has completed the service requirement for career tenure prior to entering the lab demo and is not required to serve a new probationary period:	T07 E04	Completed service requirement for career tenure from (date) to (date) Initial probationary period completed.

Chapter 4

CONTRIBUTION-BASED COMPENSATION SYSTEM (CCS)

4.1. Introduction. The purpose of the CCS is to provide an effective, efficient, and flexible method for assessing, compensating, and managing the laboratory S&E workforce in a fair and equitable manner. CCS represents a substantial philosophical and operational change that goes beyond the traditional performance-based personnel management system. CCS is designed to assist AFRL in achieving the optimal workforce by enhancing workforce competency, quality, and morale, as well as compensating S&E personnel according to their mission contributions. Recognizing team participation in CCS assessments is also an important component to future success. Identifying and rewarding effective team participation, both within their home directorate on enduring technology programs, as well as across the laboratory on strategic technology thrusts, focused long-term challenges, advanced technology demonstrations, and other cross-directorate programs, is vital to the effectiveness of the laboratory in providing technology options to our customers. It is essential that these contributions are adequately assessed and rewarded during the CCS evaluation process. CCS provides to the lowest practical management level the authority, control, and flexibility needed to achieve a quality laboratory workforce and quality products. CCS allows for more employee involvement in the assessment process, increases communication between supervisor and employee, promotes accountability, facilitates employee career progression and professional development, provides an understandable basis for salary changes, and de-links awards from the annual assessment process.

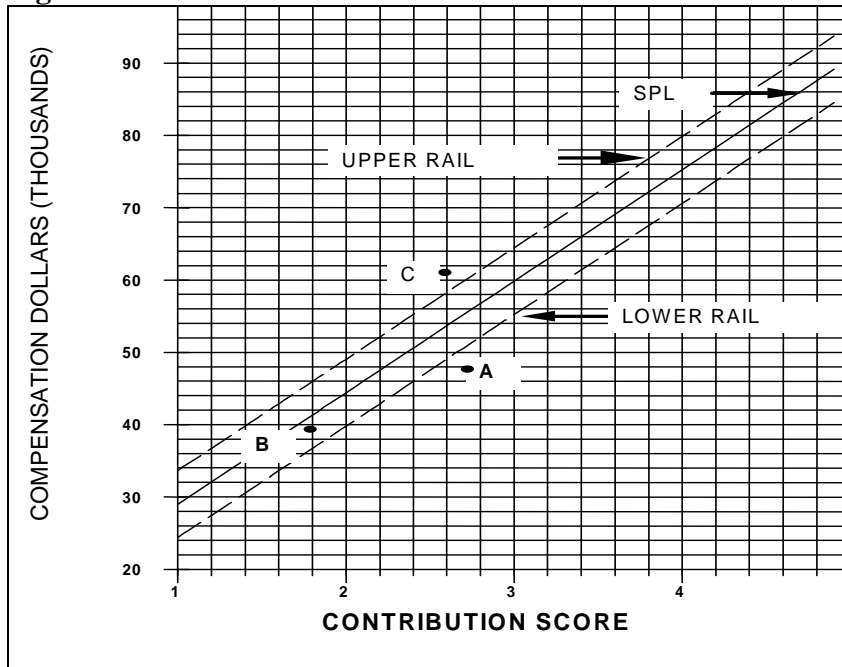
4.1.1. CCS measures the employee's contribution to the laboratory mission, rather than how well the employee performed a job, as defined by a performance plan, that may already represent a lower level of responsibility and expectation based on the employee's previous performance. Contribution is assessed against factors, each of which is relevant to the success of an R&D laboratory. CCS promotes proactive salary adjustment decisions to be made on the basis of an individual's overall contribution to the organization's mission.

4.2. The SPL. A mathematical relationship between assessed contribution and compensation must be defined in order to have a CCS. Various mathematical relationships between each overall contribution score (OCS) and the appropriate corresponding salary rate were examined and analyzed given the following systemic constraints. First, CCS necessitates the relationship be described by a single equation that yields a reasonable correlation between salaries in the broadband levels and those of the corresponding GS grade(s). Second, neither the equation nor its derivative(s) can exhibit singularities within or between levels. That is, the equation must be continuous, smooth, and well defined across the four broadband levels. Third, the relationship may not yield disincentives or inequities between employees or groups of employees; it must demonstrate equitable (i.e., consistent) growth at each OCS. Mathematical analysis demonstrated that the most reasonable relationship is a straight line, the SPL.

4.2.1. Derivation of the SPL was based on distributing the GS grades and steps across the corresponding broadband levels and plotting these against the GS salaries. Although the

data are not continuous, there is a linear trend. Each of these data points was weighted by the actual calendar year 1995 (CY95) population data for Lab Demo. Using a least squares error fit analysis, the best straight line fit to this weighted data was computed and is illustrated in **Figure 4.1**.

Figure 4.1 1995 CCS RELATIONSHIPS



4.2.2. Equation of the SPL (without locality) for CY95 Base Salary = $\$13,572 + (\$15,415 \times \text{OCS})$.

4.2.3. The SPL defined in **Figure 4.1** is tied to the basic GS pay scale for CY95. This SPL was calculated from the SPL for CY95 and inflated by the general increase (G) given to GS employees in January 1996. The equation for the CY96 SPL was Base Salary = $\$13,843 + (\$15,723 \times \text{OCS})$. The CY97 SPL is $\$14,161 + (\$16,085 \times \text{OCS})$. The CY98 SPL is $\$14,487 + (\$16,455 \times \text{OCS})$. (When computing the SPL, always round up.) Subsequent year equation information is included on the AF Lab Demo Broadband Base Salary Range Chart. Continuing this calculation of SPL maintains the same relationships between the basic GS pay scale and the SPL in Lab Demo. Locality salary adjustments are not included in the SPL.

4.2.4. Employees may determine their expected contribution level at any time by locating the intersection of their salary with the SPL. Rails are constructed at + and - 0.3 CCS above and below the SPL. The area encompassed by the rails denotes the acceptable contribution and compensation region in which an employee is considered equitably compensated. Future CCS assessments will likely alter an employee's position relative to these rails.

4.3. Pay Pools. Pay pool structure is under the authority of AFRL/CC. The following minimal guidelines, however, apply: a pay pool is based on the organizational structure and should include a range of S&E salaries and contribution levels; a pay pool must be large enough to constitute a reasonable statistical sample of 35 or more employees; a pay pool must be large enough to encompass a second level of supervision since the CCS process uses a group of supervisors in the pay pool to determine assessments and recommend salary adjustments; the PPM holds yearly pay adjustment and broadband movement authority; and neither the PPM nor supervisors within the pay pool will recommend or set their own individual pay. Funds for pay pools are derived from percentages of the sum of all salaries represented in a pay pool as of 30 September each year. There are two “pots” calculated: one for the general increase (G) and the other for incentive increases (I). Congress annually sets the percentage for ‘G.’ The AFRL Corporate Board sets the percentage for ‘I’ each year to ensure cost neutrality over the life of Lab Demo.

4.4. Broadband Level Descriptors. CCS uses a four-level broadband system where higher broadband levels are associated with increasingly higher levels of contribution. A set of six factors, each relevant to the success of an R&D laboratory, was developed to assess the contribution of S&E personnel covered under Lab Demo: technical problem solving (TPS), communications/reporting (CR), corporate resource management (CRM), technology transition/technology transfer (TTT), R&D business development (R&D), and teamwork and leadership (T&L). It is important to note that these factors should be viewed as facets of the S&E’s job and are not job activities in themselves.

4.4.1. Each factor has four levels of increasing contribution corresponding to the four broadband levels. The descriptors for these factors are the same as those used for classification. With classification, however, only one level of descriptors is used to classify a position. For example, only level I descriptors are applied for each of the six factors for a level I employee and position. For the CCS assessment process, the six factors are presented with all four levels of contribution to better assist supervisors during the assessment process (refer to **Table 4.1**). Therefore, for classification, the factors are sorted first by level and then by factor; for the CCS assessment process, the level descriptors are sorted first by factor and then by level (refer to **Table 4.1**). An employee’s numerical OCS can be assigned over the full continuum of contribution across the four levels (1.0 - 4.9.) An employee who does not exhibit the minimum contribution defined by level I descriptors for a given factor will receive a score of 0.0 for that factor. Likewise, a factor score of 5.9 can be assigned if the employee’s contribution exceeds the maximum level IV contribution.

Table 4.1 Factors and Descriptors - Factor 1: Technical Problem Solving

Level	Descriptor	Key Elements
I	Conducts in-house technical activities and/or may provide contract technical direction with guidance from supervisor or higher-level scientist or engineer.	Scope of Project/ Level of Impact
	Works closely with peers in collectively solving problems of moderate complexity, involving limited variables, precedents established in related projects, and minor adaptations to well-established methods and techniques.	Technical Com- plexity/Creativity
	Recognized within own organization for technical ability in assigned areas.	Recognition
II	Conducts in-house technical activities and/or provides contract technical direction to programs of moderate size and complexity with minimal oversight.	Scope of Project/ Level of Impact
	Contributes technical ideas and conceives and defines solutions to technical problems of moderate size or complexity.	Technical Com- plexity/Creativity
	Recognized internally and externally by peers, both in governmental and industrial activities, for technical expertise.	Recognition
III	Conducts and/or directs technical activities and/or assists higher levels on challenging and innovative projects or technical program development with only broad guidance.	Scope of Project/ Level of Impact
	Develops solutions to diverse, complex problems, involving various functional areas and disciplines. Conducts and/or directs large programs in technically complex areas.	Technical Com- plexity/Creativity
	Recognized within the laboratory, service, DoD, industry, and academia for technical expertise and has established professional reputation in national technical community.	Recognition
IV	Independently defines, leads, and manages the most challenging and innovative complex technical activities/programs consistent with general guidance or independently directs overall R&D program.	Scope of Project/ Level of Impact
	Conceives and develops creative solutions to the most complex problems requiring highly specialized areas of technical expertise.	Technical Com- plexity/Creativity
	Recognized within the laboratory, service, DoD, and other agencies for broad technical area expertise and has established professional reputation in the national and international technical community.	Recognition

Table 4.1 Factors and Descriptors - Factor 2: Communications/Reporting

Level	Descriptor	Key Elements
I	Provides data and written analysis for input to scientific papers, journal articles, and reports and/or assists in preparing contractual documents and/or reviews technical reports; work is acknowledged in team publications.	Written & Oral
	Effectively presents technical results of own studies, tasks, or contract results.	Breadth of Responsibility
	Material is presented either orally or in writing, within own organization or to limited external contacts.	Level/Diversity of Audiences
	Conducts these activities under guidance of supervisor and/or team leader.	Oversight Required
II	Writes or is major contributing author on scientific papers, journal articles, or reports and/or prepares contract documents and reviews reports pertaining to area of technical expertise. May assist in filing innovation disclosures, inventions, and patents.	Written & Oral
	Effectively prepares and presents own and/or team technical results.	Breadth of Responsibility
	Communicates work to varied laboratory, scientific, industry, and other government audiences.	Level/Diversity of Audiences
	May prepare and present presentations on critical program for use at higher levels with some guidance.	Oversight Required
III	Lead author on major scientific papers, refereed journal articles, and reports and/or prepares and reviews contract documents and reviews reports of others pertaining to overall program. May document or file inventions, patents, and innovation disclosures relevant to subject area.	Written & Oral
	Prepares and presents technical and/or financial and programmatic briefings and documentation for team, organization, or technical area.	Breadth of Responsibility
	Prepares and delivers presentations for major projects and technology areas to scientific and/or government audiences.	Level/Diversity of Audiences
	Reviews oral presentation of others. Communication and reporting functions conducted with minimal higher level oversight.	Oversight Required
IV	Lead or sole author on scientific papers, refereed journal articles, reports, or review articles, which are recognized as major advances or resolutions in the technical area, and/or reviews and approves reporting of all technical products of mission area. May exploit innovations, which normally lead to inventions, disclosures, and patents.	Written & Oral
	Prepares and presents technical and/or financial and programmatic briefings and documentation for breadth of programs at or above own level.	Breadth of Responsibility
	As subject matter expert, prepares and delivers invited or contributed presentations, papers at national or international conferences on technical area, or gives policy level briefings.	Level/Diversity of Audiences
	Singularly responsible for overall quality and timeliness of technical/scientific/programmatic reports and presentations of group and self.	Oversight Required

Table 4.1 Factors and Descriptors - Factor 3: Corporate Resource Management

Level	Descriptor	Key Elements
I	May coordinate elements of in-house work units or assist in managing a scientific or support contract.	In-House/Contract Managing
	Uses personal and assigned resources efficiently under guidance of supervisor or team leader.	Size & Complexity
	As an understanding of organizational activities, policies, and objectives is gained, participates in team planning.	Make/Buy/Rely
II	Manages all aspects of technically complex in-house work units or one or more contractual efforts in assigned program area.	In-House/Contract Managing
	Effectively plans and controls all assigned resources. Makes and meets time and budget estimates on assigned projects or takes appropriate corrective action.	Size & Complexity
	Participates in organizational or strategic planning at team level, taking cognizance of complementary projects elsewhere to ensure optimal use of resources.	Make/Buy/Rely
III	Defines program strategy and resource allocations for in-house and/or contractual programs.	In-House/Contract Managing
	For assigned technical areas, conducts program planning, coordination, and/or documentation (master plans, roadmaps, Joint Director of Labs/Reliance, etc.). Advocates to laboratory and/or higher headquarters on budgetary and programmatic issues for resources.	Size & Complexity
	Based on knowledge of analytical and evaluative methods and techniques, participates in strategic planning at branch and/or division level. Considers and consults on technical programs of other organizations working in the field to ensure optimal use of resources.	Make/Buy/Rely
IV	Defines technology area strategy and resource allocations for in-house and contractual programs.	In-House/Contract Managing
	For multiple technical areas, conducts overall program planning and coordination, and/or program documentation (master plans, roadmaps, Joint Director of Labs/Project Reliance, etc.). Advocates to command, service, and agency levels on budgetary and programmatic issues for resources.	Size & Complexity
	Utilizing advanced analytical and evaluative methods and techniques, leads strategic planning and prioritization processes. Develops strategy to leverage resources from other agencies and ensures equitable distribution and appropriate use of internal resources.	Make/Buy/Rely

Table 4.1 Factors and Descriptors - Factor 4: Technology Transition/Technology Transfer

Level	Descriptor	Key Elements
I	Participates as a team member in demonstrating technology and in interacting with internal/external customers.	Customer Interaction Level
	With guidance, contributes to technical content of partnerships for technology transition and/or transfer (Advanced Technology Demonstrations, Memorandums of Understanding, Joint Director of Labs/Project Reliance, Cooperative Research and Development Agreements, and other dual-use vehicles).	Partnership/Level of Independence
	Seeks out and uses relevant outside technologies in assigned projects.	Leveraging Outside Technology
II	Develops demonstrations and interacts independently with internal/external customers.	Customer Interaction Level
	As a team member, implements partnerships for transition and/or transfer of technology (Advanced Technology Demonstrations, Memorandums of Understanding, Joint Director of Labs/Project Reliance, Cooperative Research and Development Agreements, and other dual-use vehicles).	Partnership/Level of Independence
	Evaluates and incorporates appropriate outside technology in individual or team activities.	Leveraging Outside Technology
III	Develops customer base and expands opportunities for technology transition and transfer.	Customer Interaction Level
	Leads or serves as key technical member of teams implementing partnerships for transition or transfer of technology (Advanced Technology Demonstrations, Memorandums of Understanding, Joint Director of Labs/Project Reliance, Cooperative Research and Development Agreements, and other dual-use vehicles).	Partnership/Level of Independence
	Ensures incorporation of outside technology within laboratory programs.	Leveraging Outside Technology
IV	Organizes, leads, and markets overall technology transition and transfer activities for organization at senior management levels.	Customer Interaction Level
	Leads in formulation and oversight of Advanced Technology Demonstrations, Memorandums of Understanding, Joint Director of Labs/Project Reliance, Cooperative Research and Development Agreements, and other dual-use vehicles.	Partnership/Level of Independence
	Creates an environment that encourages widespread exploitation of both national and international technologies.	Leveraging Outside Technology

Table 4.1 Factors and Descriptors - Factor 5: R&D Business Development

Level	Descriptor	Key Elements
I	As a team member communicates with customers to understand customer requirements.	Customer Interaction Level
	By maintaining currency in area of expertise, contributes as a team member to new program development.	Knowledge and Level of Planning
	May technically participate in writing proposals to establish new business opportunities.	Knowledge of Market & Success in Getting Funds
II	Initiates meetings and interactions with customers to understand customer needs.	Customer Interaction Level
	Generates key ideas for program development based on understanding of technology and customer needs. Demonstrates expertise to internal/external customers.	Knowledge and Level of Planning
	Contributes technically to proposal preparation and marketing to establish new business opportunities.	Knowledge of Market & Success in Getting Funds
III	Works to establish customer alliances and translates customer needs to programs in a particular technical area.	Customer Interaction Level
	Develops feasible research strategies and/or business strategies for new technical activities.	Knowledge and Level of Planning
	Seeks joint program coalitions with other agencies and funding opportunities from outside organizations. Pursues near-term business opportunities through proposals.	Knowledge of Market & Success in Getting Funds
IV	Works with the senior management level to stimulate development of customer alliances for several technical areas.	Customer Interaction Level
	Generates strategic research and/or business objectives for core technical areas. Recognizes war-fighting trends, relates business opportunities, and convinces laboratory management to develop and/or acquire expertise and commit funds.	Knowledge and Level of Planning
	Secures business opportunities supporting long-term mission relevancy through targeted proposals and processes.	Knowledge of Market & Success in Getting Funds

Table 4.1 Factors and Descriptors - Factor 6: Teamwork and Leadership

Level	Descriptor	Key Elements
I	Contributes to all aspects of teams' responsibilities.	Team Role
	May technically guide or mentor less experienced personnel on limited aspects of scientific or engineering efforts.	Breadth of Influence
	Receives close guidance from supervisor and/or higher level scientist or engineer. Performs duties in a professional, responsive, and cooperative manner in accordance with established policies and procedures.	Supervision & Guidance Received
II	Contributes as a technical task or team leader; is sought out for expertise by peers; and participates in mentoring of team members.	Team Role
	May guide on a daily basis, technical, programmatic, and administrative efforts of individuals or team members.	Breadth of Influence
	May recommend selection or may select staff and/or team members. Assists in the development and training of individuals or team members. May participate in position and performance management.	Supervision & Sub-ordinate Development
	Receives general guidance in terms of policies, program objectives, and/or funding issues from supervisor and/or higher-level scientist or engineer. Discusses novel concepts and significant departures from previous practices with supervisor or team leader.	Supervision & Guidance Received
III	Is sought out for consultation; and mentors team members.	Team Role
	Guides the research, technical and/or programmatic and administrative efforts of individuals or teams with accountability for focus and quality.	Breadth of Influence
	Recommends selection or selects staff and/or team members. Supports development and training of subordinates and/or team members. Participates in position and performance management.	Supervision & Sub-ordinate Development
	Receives only broad policy and administrative guidance from supervisor, such as initiation and curtailment of programs.	Supervision & Guidance Received
IV	Establishes team charters and develops future team leaders and supervisors.	Team Role
	Leads and manages all aspects of subordinates' or team members' efforts with complete accountability for mission and programmatic success.	Breadth of Influence
	Recommends selection or selects staff, team leaders, and team members; fosters development and training of supervisory and non-supervisory individuals. Directs or recommends position and performance management.	Supervision & Sub-ordinate Development
	Works within the framework of agency policies, mission objectives, and time and funding limitations.	Supervision & Guidance Received

4.5. Job Categories and Weights.

4.5.1. Job Category. Weights are assigned to the six CCS factors based upon the job category of the position. The job category is determined based upon the duties that comprise the majority of the position's work as described in paragraph 1.9.6.

4.5.2. AFRL/CC has the authority to determine if varying weights should be applied to the six CCS factors based on these job categories. This authority has been delegated to each of the PPMs. As an example, TPS may be more heavily weighted for Bench-Level S&Es than the factors of TTT and T&L. The authority to use weights and the authority to set weights may be delegated below AFRL/CC. However, weights must be the same for all employees in a particular job category within a pay pool. This ensures that a fair comparison of employees is made, without having the weights tailored to specific individuals. The OCS is determined by multiplying the score for each factor by the associated weight, adding the results, and then dividing by the sum of the factor weights. If the AFRL Laboratory Commander opts not to use varying weights, unit weights (i.e., 1.0) will be applied.

4.5.3. Example: A given Bench-Level S&E from this hypothetical pay pool receives factor scores of 2.8, 3.2, 2.9, 2.2, 2.0, and 2.6. **Table 4.2** illustrates how the OCS of 2.75 for this individual is computed.

Table 4.2 OCS Computation.

Factor	CCS Rating	Factor Weights	Weighted Score
TPS	2.8	1.0	2.8
CR	3.2	1.0	3.2
CRM	2.9	1.0	2.9
TTT	2.2	0.5	1.1
R&D	2.0	0.3	0.6
T&L	2.6	1.0	2.6
SUM		4.8	13.2
AVG			= 13.2 / 4.8
			2.75

4.5.4. Lab Demo, in part, is predicated on the belief that the continued success and viability of the AFRL depends on all employees contributing in each of the areas defined by the six factors. Making all employees accountable for all factors shifts organizational values in new directions. For this reason, no factor can be given a weight of zero. Contribution in all six factors is important to ensure both the overall success of DoD laboratories and individual S&E career growth. Hence, the weights should be reviewed annually.

4.5.5. Other rules for setting weights for each of the six factors are.

4.5.5.1. Weights may be assigned any value, in increments of 0.1, from 0.1 to 1.0.

4.5.5.2. At least three factors must have a weight of 1.0.

4.5.5.3. No more than one factor can have a weight of less than 0.5.

4.5.5.4. Therefore, for all six factors, the weights must sum from 4.1 to 6.0.

4.6. Contribution Scores.

4.6.1. Assigning Scores.

4.6.1.1. In order to assess the contribution level of an employee, four sets of broadband level descriptors, six factors, and key elements have been defined for the S&E workforce. Supervisors (during a meeting of managers) use the descriptors and key elements to assess each employee's contribution for each factor, first to the appropriate broadband level (one through four in a low, medium or high range) and next to the closest 10th of a division (.0 to .9). Level descriptors for each factor define the contribution needed to score in that level (i.e., 1.0, 2.0, 3.0, or 4.0). For employees with special circumstances, refer to paragraph **4.10**.

4.6.1.2. If the supervisor assesses an employee's contribution for a particular factor to correspond to the descriptors associated with level I, a score of 1.0 is assigned. If the contribution, however, is deemed greater than that defined for level I, but less than that described by descriptors associated with level II, a score between 1.0 and 1.9, in increments of 0.1, may be assigned. The closer the contribution comes to the level II descriptors, the higher the increment and subdivision should be. Contributions within level II are assessed at scores of 2.0 to 2.9, and so forth. A factor score of 0.0 can be assigned if the employee does not demonstrate a minimum level I contribution. A factor score of 5.9 can be assigned if the employee demonstrates a contribution that exceeds the maximum for level IV. The employee's overall CCS assessment is the average of the CCS weighted scores for the six individual factors (i.e., the individual factor times the weight assigned to the factor). The maximum compensation for broadband level IV is the GS-15/Step-10 salary and equates to a total OCS of just below 4.9. If the weighted average of CCS factor scores exceeds 5.25, the total OCS will be set to 5.25 with the individual identified to upper management as having exceeded the maximum contribution defined by the broadband. Employees with an OCS below 1.0 are automatically deemed to be above the upper rail for purposes of CCS assessment and associated salary adjustments.

4.6.2. Score Rationale.

4.6.2.1. Not every employee is expected to receive an OCS of 4.9. Level I corresponds to entry-level positions, and employees functioning in that capacity should be expected to receive scores from 1.0 to 2.25. If any employee does not demonstrate a contribution that corresponds to at least the minimum of level I, a

score of 0.0 should be assigned. Level II corresponds to the journeyman level, and scores of 1.75 to 3.25 are appropriate. Again, supervisors should assign lower scores if the employee's contribution does not warrant the higher score. Most new hires and junior personnel reasonably fall within one of these levels of contribution. DR-III and DR-IV positions are expected to obtain average CCS ratings from 2.75 to 4.9.

4.6.2.2. Consequently, it is reasonable for supervisors to expect the normal employee to obtain an average OCS that falls within their assigned broadband level. Over a 20- to 30-year career, where the nominal employee under the GS might progress from a GS-09 to a GS-14 or 15, an annual increase in average OCS of 0.05 to 0.09 is reasonable. This is by no means meant to restrict or discourage supervisors and management from appropriately recognizing and compensating an "exceptional employee." It is provided to inform supervisors and employees with what level of advancement is reasonable and realistic. In addition, it is also reasonable and realistic that many employees will reach a point beyond which their contributions will never exceed. These employees should not be expected to receive increasing contribution scores from year to year.

4.7. The CCS Assessment Process.

4.7.1. Beginning of Cycle. The annual assessment cycle begins on 1 October and ends on 30 September of the following year. At the beginning of the annual assessment period, supervisors will provide the broadband level descriptors, factors, and key elements along with weights to employees, as well as discuss expectations for the upcoming assessment period so that employees know the basis on which their contribution will be assessed.

4.7.2. Midyear Review. A mid-year review, in the April to May time frame, will be conducted for all S&Es, both supervisory and non-supervisory employees. At this time, the employee's professional qualities will be discussed, as well as future professional development and career opportunities. The supervisor completes the AFRL Form 279, *S&E Feedback*, to facilitate and document the mid-year review. The AFRL Form 279 highlights the employee's strengths and weaknesses in areas of professional development, documents recommended training and development activities and addresses contribution in each of the six factors. Laboratory management as appropriate may specify additional mid-cycle discussions. The AFRL Form 279 must be filed with the employee's AF Form 971 (refer to paragraph 4.12.)

4.7.3 Reverse Feedback. Also in the April to May time frame, reverse feedback from employees to their supervisors is to be conducted and should include feedback of perceived supervisory qualities and skills for all supervisors, military, and civilian alike. Subordinate supervisors will solicit employee input on the supervisor's qualities and skills. This enables supervisors to receive feedback from higher-level management as well as from those they supervise for the purpose of future professional development.

4.7.4. Self Assessment. At the end of the assessment period, employees will summarize their contributions to include any team participation in each factor on AFRL Form 281, *Employee Self Assessment*, for their immediate supervisor. Contribution statements must reflect the impact or result of each activity rather than just listing the activity itself. Using the same format, team members will also provide a separate write-up describing team contributions to their respective team leads. If an employee refuses to provide a self-assessment, then the supervisor shall document the employee's AF Form 971 file and provide an assessment based on the supervisor's personal knowledge.

4.7.5. Team Leads. Recognizing the importance of team participation for CCS, project team leads will receive and review each team member's input and use track changes to add comments, or agree as written and forward to the team member's supervisor. Any discussion between the employee's supervisor and team lead remain private. Annually, team leads meet with team members and review the team progress and effectiveness not linked to CCS. Team leads do not discuss CCS scores with team members.

4.7.6. First Level Supervisor's Assessment. Supervisors will review each employee's self-assessments and, if necessary, discuss them with the individual employees. The CCS scores are determined, using the employee input to include any team participation, and the supervisor's personal knowledge of the employee's overall contribution to the laboratory mission. Supervisors, if appropriate, will initiate dialogue with an employees team lead for clarification of team contributions. For each factor, the first-level supervisor assigns a preliminary score based on the broadband level corresponding to the employee's contributions, along with a low, medium or high indicator to take to the manager's meeting. C²S² will aid supervisors and managers throughout the assessment and compensation adjustment process.

4.7.7. The Branch Level Manager's Meeting. The branch chief meets with their respective section chiefs to review and discuss preliminary assessments, refine them into numerical CCS factor scores, and adjust any factor write-ups based on results of the meeting. It is the first-level supervisor's responsibility to bring the preliminary assessments and supporting information to the meeting. Supervisors must document adequate justification for each proposed factor score.

4.7.8. The Division Level Manager's Meeting. The division chief meets with their respective branch chiefs to review and discuss all preliminary assessments of the section chiefs and any non-supervisory personnel assigned to the branch chiefs and assign individual CCS factor scores and adjust any factor write-ups based on the results of the meeting. It is the division chief's responsibility to ensure equitable scoring for contribution levels across their branches. It is the first-level supervisor's responsibility to bring the preliminary assessments and supporting information to the meeting. Supervisors must document adequate justification for each proposed factor score.

4.7.9. The PPMs Level Manager's Meeting. This is a meeting comprised of the PPM and their division chiefs to discuss and review the preliminary assessments of the branch chiefs and any non-supervisory personnel assigned to the division chiefs, and assign individual

CCS factor scores and adjust any factor write-ups based on the results of the meeting. The purpose of this meeting is also to ensure equity across the pay pool. After reviewing scores set at lower level meetings, the PPM may direct one or more divisions to adjust the scores in their group. Adjustments must be made by the appropriate level of management (i.e. branch level scores must be changed and approved by the division level manager's group.)

4.7.10. PPMs Responsibilities. The PPM assigns numerical ratings for all employees they directly supervise. Once all managers' meetings have been completed, the PPM reviews the overall compensation scenario for internal pay pool assessment equity. It is the PPMs responsibility to ensure equitable scoring for contribution levels across divisions. When the PPM approves the overall scenario, final pay determinations, as well as broadband level changes are consummated.

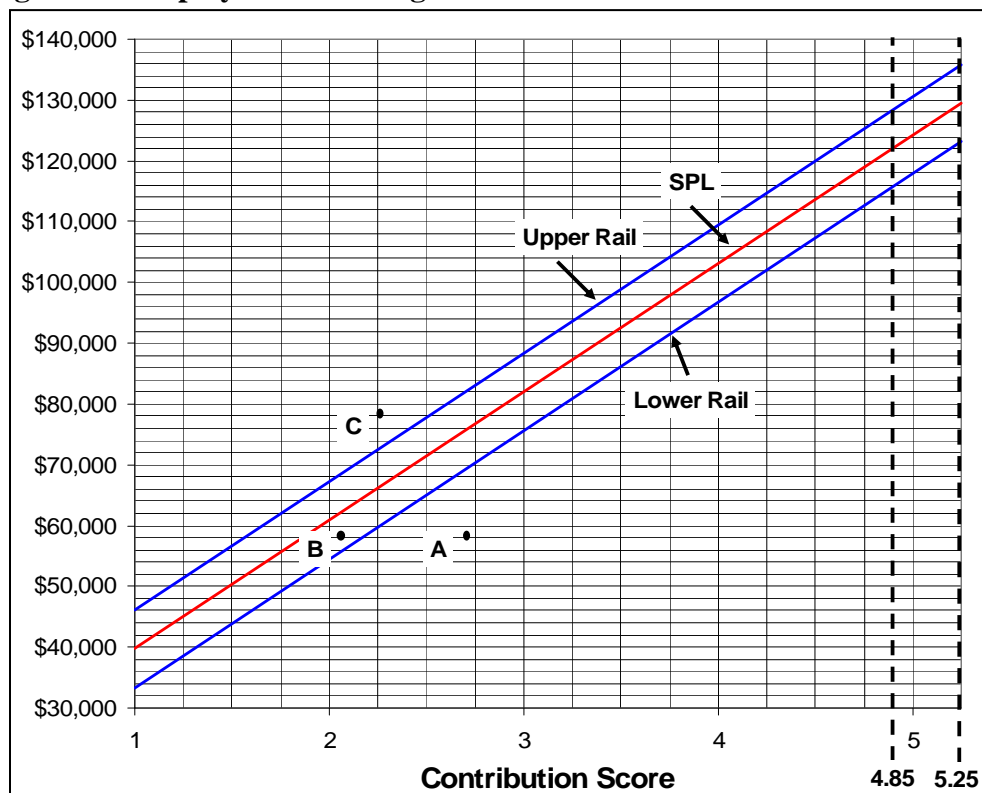
4.7.11. Feedback to Employees. In order for employees to receive timely feedback, supervisors are required to conduct assessment feedback once the PPM has approved and finalized all assessments.

4.7.11.1. Assessment Feedback. The first-level supervisor conducts the assessment feedback session. This feedback session is to discuss the CCS assessment, contents of the interim AFRL Form 280 contribution statements factor by factor, scores, OCS, discuss developmental and career opportunities, and expectations for the upcoming cycle. This interim AFRL Form 280 is not signed and is filed in the employee AF Form 971. A copy of the AFRL Form 280 is given to the employee.

4.7.11.2. Compensation Results. Compensation results are given once OPM releases new pay tables and compensation has been finalized and approved. The final AFRL Form 280 Part I and II is generated providing the employee with their new salary, and broadband movement (if applicable). The AFRL Form 280 is signed by the employee and filed in the employee AF Form 971. A copy of the AFRL Form 280 is given to the employee. Grievance period begins at this time.

4.8. Salary Adjustment Guidelines.

4.8.1. After the initial assignment into the CCS system, employees' yearly contributions are determined by the CCS process described above, and their new OCS versus their permanent basic salaries will be plotted on a graph along with the SPL (refer to **Figure 4.2**). The position of those points relative to the SPL gives a relative measure (delta Y, delta X) of the degree of over- or under-compensation for the employees. This permits all employees within a pay pool to be rank-ordered by Delta from the most under-compensated employee to most over-compensated employee.

Figure 4.2 Employee Positioning.

4.8.2. In general, those employees who fall below the lower rail of the SPL (indicating under-compensation, for example, employee A in **Figure 4.2**). should expect to receive greater salary increases than those who fall above the upper rail of the SPL (indicating over-compensation, for example, employee C). Over time, people will migrate closer to the SPL (within the rails) and receive a salary appropriate to their level of contribution. The following are more specific rules regulating pay-out limits.

4.8.2.1. Those that fall above the upper rail (for example, employee C) will be given an increase ranging from zero to a maximum of “G.”

4.8.2.2. Those that fall within the rails (for example, employee B) will be given a minimum of “G.”

4.8.2.3. Those who fall below the lower rail (for example, employee A) will be given at least their base pay times the sum of “G” plus “I.” Should an employee’s CCS assessment fall directly on either rail, it will be considered to be within the rails, where paragraph 4.8.2.2. applies.

4.8.3. Each PPM will set the necessary guidelines for the gradation of pay adjustments in the pay pool. PPMs determine any salary adjustments that remain within these limits. Additional considerations, however, need be taken into account when setting salary adjustments. First, decisions made will be standard and consistent within the pay pool, be

fair and equitable to all stakeholders, maintain cost neutrality, and be subject to review by higher laboratory management. Therefore, supervisors and managers should clearly document and justify a decision to compensate a less under-compensated employee greater than a more under-compensated employee. Second, the area between the rails defines where an employee's contribution versus compensation is equitable. "T" is intended to enable supervisors to adjust the salary of employees whose compensation is less than equitable for their level of contribution and to give incentive to others to raise their level of contribution. There is no requirement for a pay pool to use all of the available "T" funds.

4.8.3.1. C^2S^2 and the Offline Compensation spreadsheet provide two options for distributing "T" funds. One option is the alpha delta Y algorithm, which computes alpha as the pay pool funding divided by the sum of employee under-compensation across the pay pool. The numerator is the sum of the salaries of employees in the pay pool times the "T" funding percentage plus any General increase money withheld from employees in the AAZ. The denominator is the sum of the positive delta Ys for the employees in the pay pool, where delta Y is the salary associated with the employee's OCS minus their current salary. The ratio is the proportion of total under compensation that the pay pool can afford to buy back. The algorithm computes each employee's payout as alpha times the employee's under compensation, if any. The product is alpha delta Y from which the algorithm derives its name. The second algorithm is called the two-step algorithm. In the first step, it gives employees, who plot below the lower rail, enough of the pay pool funds to bring them up to the lower rail. Once this step is done, the alpha delta Y algorithm is applied, using the remaining funds and the new delta Y amounts for those employees who were brought up to the lower rail.

4.9 Broadband Level Movement Guidelines.

4.9.1. It is the intent of Lab Demo to have S&E career growth accomplished through unrestricted movement through the broadband levels based on contribution and salary. Movement through the broadband levels will be determined by contribution and salary following the CCS payout calculation. Resulting changes in broadband levels are not accompanied by traditional promotion dollars, but rather, they will be reflected on the pay adjustment action documenting the CCS payout and reaccomplishment of an SDE. Broadband level changes will take place on the CCS pay adjustment effective the first pay period in January. The C^2S^2 software will upload all necessary information into the DCPDS; however, a revised SDE must be generated, signed, and forwarded to the servicing CPF. The terms "promotion" and "demotion" will not be used in connection with the CCS process; rather, these terms will be reserved for competitive placement actions and adverse actions.

4.9.2. Broadband levels are derived from an initial grouping of one or more GS grades. Salary overlap between adjacent levels is desirable for broadband level movement. It is more convenient, however, to redefine these overlaps (that is, the top and bottom salary ranges of the broadband levels, which produce the overlaps) in terms of the SPL. Specifically, the salary overlap between two levels is defined by the salaries at - to + 0.25

CCS units around the whole number score defining the boundary between the contribution levels. For example, the maximum salary for level II would be that salary from the SPL corresponding to an OCS of 3.25. Likewise, the minimum salary for level III would be the salary from the SPL corresponding to an OCS of 2.75.

4.9.3. Movement between Levels I through IV (**Figures 4.3a through 4.3f**). These figures show the salary overlap areas between broadband contribution levels. These salary overlap areas are divided into zones designated as eligible, recommend, and mandatory change to higher or lower broadband. All the eligible zones have the same width, 0.5 CCS units, and height. The eligible zone is defined as the box formed by the intersection of the integer joining two levels + and - 0.25 CCS and the SPL.

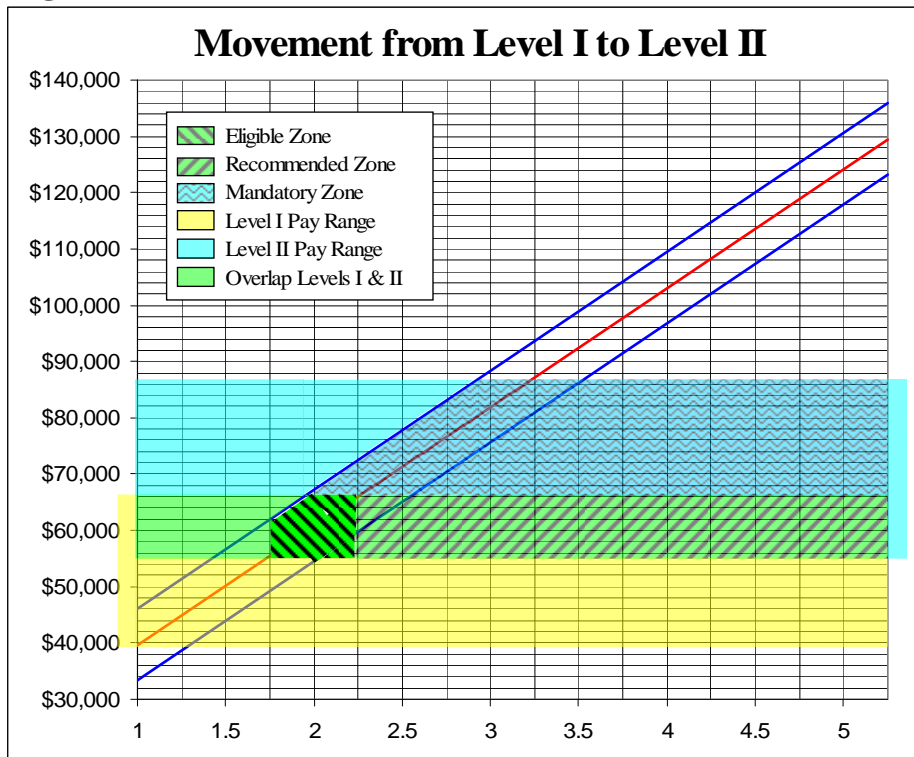
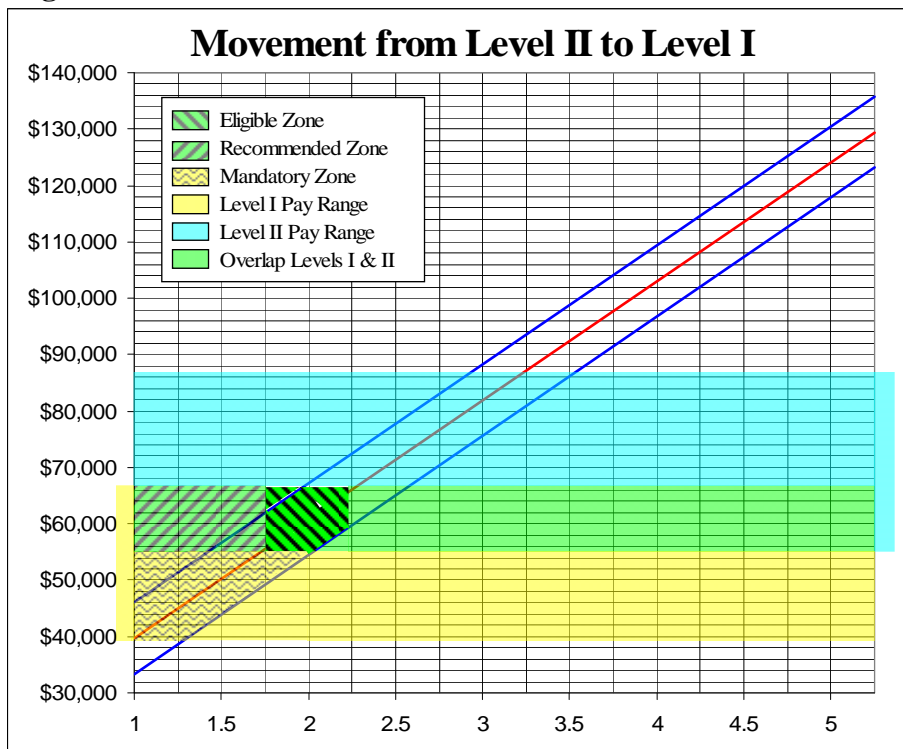
Figure 4.3a Movement from Level I to Level II.**Figure 4.3b Movement from Level II to Level I.**

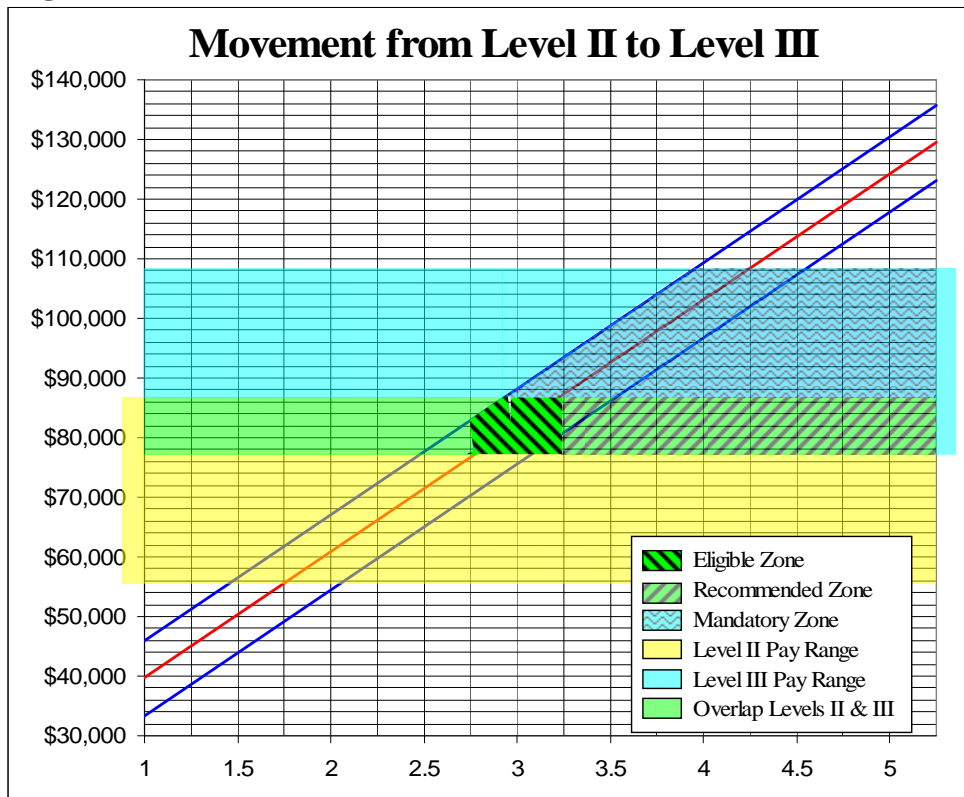
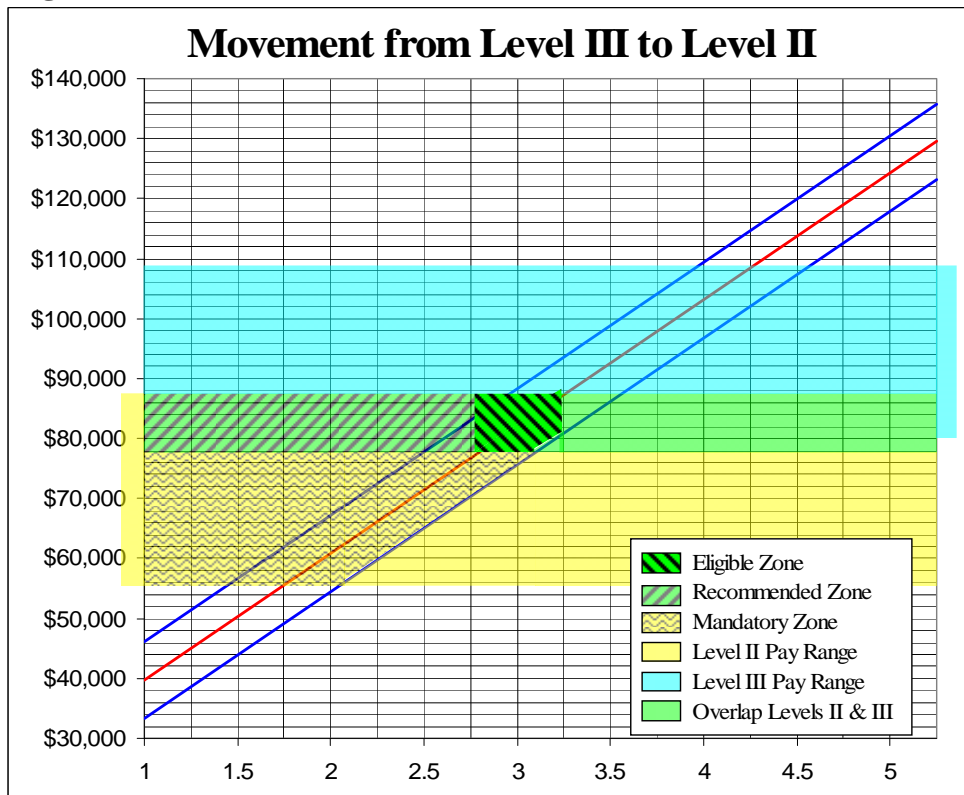
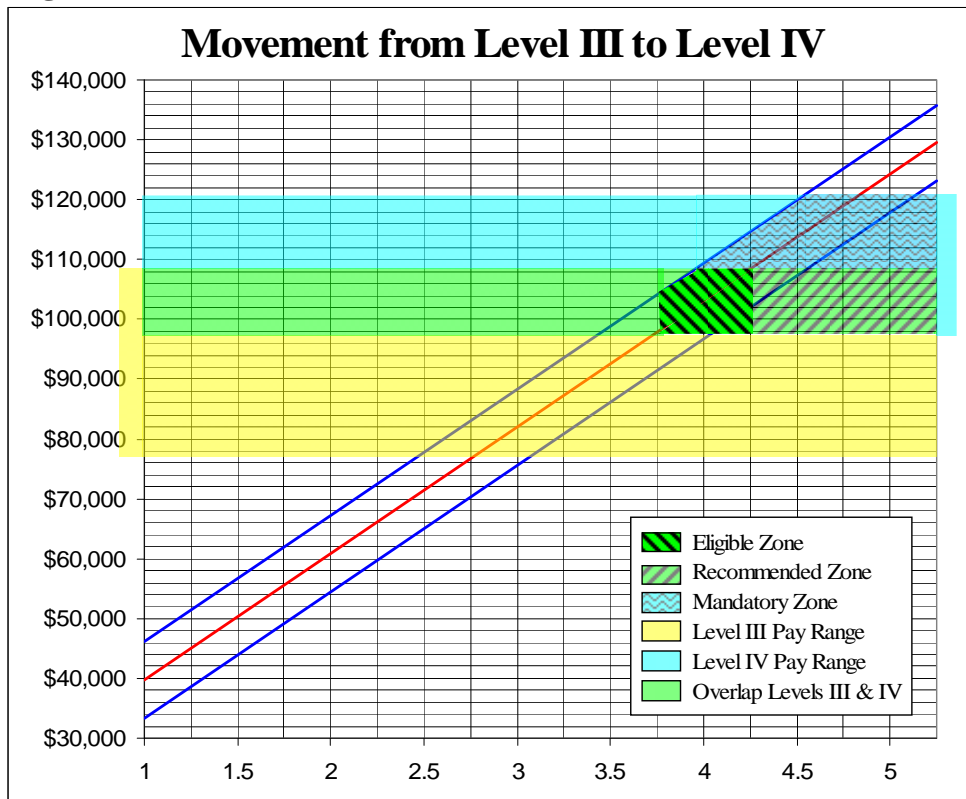
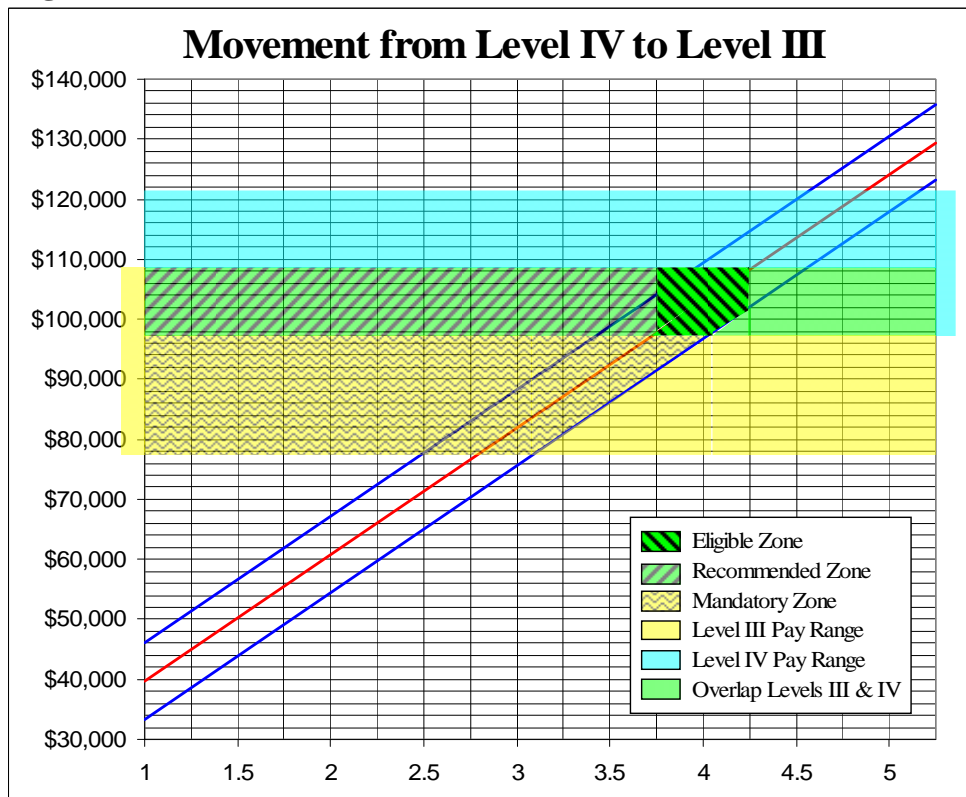
Figure 4.3c Movement from Level II to Level III.**Figure 4.3d Movement from Level III to Level II.**

Figure 4.3e Movement from Level III to Level IV.**Figure 4.3f Movement from Level IV to Level III.**

4.9.4. The eligible zones serve to stabilize the movement between adjacent broadband levels. This allows for annual fluctuations in contribution scores for people near the top or bottom of a level, without creating the need for repeated changes of their broadband levels and titles. An employee whose contribution score falls within an eligible zone is eligible for a change in broadband level (with the associated title change), but one should not be given unless the supervisor has a compelling reason to advance or reduce the employee's level. Under normal circumstances, pay adjustments under CCS will follow contribution scores. Those who consistently achieve increased contribution assessments will progress through their broadband level and will find their salary climbing into the corresponding recommend higher zone. Once the employee's OCS is demonstrated to be consistently within the recommend higher zone, the employee should be moved to the higher broadband level, unless the supervisor has a compelling reason not to recommend the change. Conversely, regression through the broadband levels works the same way in the opposite direction. Those who consistently receive decreasing contribution assessments will regress through their broadband level and will not receive salary adjustments greater than "G." They will find that the recommend lower zone will catch up with their current salary. Once the employee's OCS is demonstrated to be within the recommend lower zone, the employee should be moved to the lower broadband level unless the supervisor has a compelling reason not to recommend the change. If an employee's OCS falls within the mandatory higher or mandatory lower zone, the C²S² will automatically change the broadband level. If position is APDP coded and the employee doesn't meet the requirements, C²S² will withhold the dollars to prevent a broadband move.

4.9.5. Movement under CCS happens once a year at the time salary adjustments are paid out. Under Lab Demo, managers are provided greater flexibility in noncompetitively reassigning duties between positions within the same broadband level. If, throughout the year, there are vacancies at higher levels (typically supervisory positions), employees may be considered for promotion to those positions according to Lab Demo internal merit promotion procedures as described in **Chapter 2**.

4.10. Presumptive Ratings.

4.10.1. There are two categories of employees who should receive presumptive CCS ratings. The first category includes those who have been in Lab Demo for less than 90 days. These employees are considered, "Presumptive Due to Time." The second category includes employees in special circumstances, such as being away on long-term-full-time training, on extended sick leave, etc. These employees are considered, "Presumptive Due to Circumstance." Presumptive due to circumstance applies only when an employee's situation is such that it is not possible to provide a meaningful CCS assessment. (Refer to **Table 4.3**.)

4.10.1.1. Presumptive Due to Time.

4.10.1.1.1. When an S&E employee is newly hired or transferred into AFRL, the employee's expected contribution level is initially considered in parity with the current SPL until an official, written

contribution assessment is conducted. It is important, therefore, that within 30 days of the employee's arrival to the organization, the gaining supervisor give the employee an overview of CCS, discuss the supervisor's expectations and anticipated contribution level with the employee, and provide the employee a copy of the SDE, broadband level descriptors, and factor weights.

4.10.1.1.2. New employees to Lab Demo will not receive a formal, written assessment within their first 90 days under CCS. When a new hire or transfer employee enters the laboratory less than 90 days from the close out of the current annual assessment cycle, the employee will automatically be considered presumptive due to time and assigned a presumptive score equal to the intersection of their current base salary and the SPL, and receive a pay adjustment equal to "G." Presumptive due to time employees can receive "I" based on the PPM's discretion, however; employees are not eligible for broadband movement until the subsequent annual cycle where a formal assessment is conducted. The AFRL Form 280 will document this assessment. The supervisor will wait for the subsequent annual cycle to formally assess the employee. The first assessment must be within 18 months after entering Lab Demo. In addition, new hires and transfer employees should be provided formal, written feedback on their contribution, at a minimum, on their three-month anniversary date.

4.10.1.2. Presumptive Due to Circumstance.

4.10.1.2.1. Each year there will be employees who cannot be readily evaluated by the normal CCS assessment process due to special circumstances that take them away from their normal duties. Examples when an employee might not be directly assessed include those on long-term, full-time (LTFT) training, expanded developmental opportunity, active military duty, extended sick leave, extended leave without pay, details outside Lab Demo, etc.

4.10.1.2.2. Depending on the specific circumstances, management may choose to assess such employees from the following two options.

4.10.1.2.2.1. Recertifying the employee's last contribution assessment.

4.10.1.2.2.2. Assigning the CCS assessment score that places the employee on the standard pay line at the employee's current salary.

4.10.1.2.3. In either event, the AFRL Form 280 must document the special circumstances. At a minimum, these employees receive a pay adjustment equal to “G” (unless a recertified score places them in the AAZ; in that event, the “G” increase will be at the PPMs discretion). Recertified scores typically receive the pay adjustment associated with the distance from the SPL.

4.10.1.2.4. As stated above, there are two possible methods for assigning scores to presumptive employees, and there are two possible choices for compensation adjustment. The presumptive rating matrix below describes which choices and methods are applicable for each category.

Table 4.3 Presumptive Rating Matrix.

Presumptive Category	Assessment Methods	Compensation Choices	
		Can get “G”	Can Get “T”
Due to Time	Place employee on SPL	Yes (mandatory)	Yes (discretionary)
Due To Circumstance	Re-certify last OCS	Yes (mandatory, unless in AAZ)	Yes (unless in AAZ)
	Place employee on SPL	Yes (mandatory)	Yes (discretionary)

4.11. Assessments Involving Employee Movement.

4.11.1. Assessments involving newly appointed supervisor.

4.11.1.1. If a newly appointed supervisor has less than 90 days prior to 30 September, even if the previous supervisor provided a closeout assessment, the assessment must be completed by the next higher-level supervisor.

4.11.1.2. If an employee moves and has less than 90 days prior to 30 September, the losing supervisor is responsible for providing a closeout assessment to the employee’s new supervisor.

4.11.1.3. Supervisors departing their supervisory position shall prepare and provide the new supervisor or next higher-level supervisor closeout assessments for all assigned Lab Demo employees.

4.11.2. Assessments for Employees Who Leave Lab Demo. Employees departing Lab Demo for other Federal positions between 1 October and the beginning of the first full pay period in January will be included in the pay pool. However, they will not receive the incentive increase dollars computed under CCS. The supervisor must complete a

CCS assessment for these employees in order to determine the additional years of service credit for reduction in force (RIF) purposes, among other things.

4.11.3. Assessments for Employees Detailed or Temporarily Promotion outside Lab Demo.

4.11.3.1. Employees detailed or temporarily promoted will be assessed in their permanent pay pool. For employees temporarily promoted or detailed for less than 90 days at the time of assessment, the permanent supervisor will evaluate the employee's contribution based on the permanent assignment and job category and will seek inputs from the temporary supervisor concerning contributions during the detail or temporary promotion. For employees detailed or temporarily promoted for more than 90 days at the time of assessment, it is management's decision to evaluate or consider employee presumptive due to circumstance.

4.11.3.2. If the employee is on the temporary promotion at the time of the pay adjustment, they will receive the CCS pay adjustment upon movement back to a Lab Demo position; adjustments are not retroactive. The pay adjustment and total pay pool funds are computed based on the employee's permanent basic salary. The personnel action to document the movement back will reflect the employee's new basic CCS-adjusted salary. A remark should be placed on the back of the RPA stating: "SALARY IN BLOCK 20 INCLUDES CONTRIBUTION-BASED COMPENSATION SYSTEM (CCS) TOTAL INCREASE OF \$____(amount of increase) AND A LOCALITY ADJUSTMENT (OR OTHER GEOGRAPHIC ADJUSTMENT) APPLICABLE IN THIS AREA." If the salary increase results in a change in broadband, the new broadband and title will be documented on this same action with the remark: "CHANGE IN BROADBAND LEVEL AS A RESULT OF SALARY MIGRATION TO NEXT HIGHER LEVEL." The RPA, new SDE (for broadband change only), and will be forwarded to civilian personnel, updated in DPCDS and filed in the employee's OPF.

4.11.4. Assessments for Employees Transferring Within or Between Lab Demo Pay Pools. If at the end of a rating cycle the transferring employee has more than 90 days in the old job within that rating cycle, the losing supervisor prepares an interim and closeout assessment using the same format as for an end-of-cycle assessment. If the employee has less than 90 days in the new job at the end of the rating cycle, the closeout rating of the previous supervisor becomes the preliminary CCS assessment. If the employee has more than 90 days in the new job at the end of the rating cycle, the gaining supervisor will complete the CCS assessment using the interim and closeout assessment from the losing supervisor as input.

4.11.5. Details and Temporary Promotions within Lab Demo. Employees detailed or temporarily promoted will be assessed in their permanent pay pool. The gaining supervisor of an employee temporarily promoted or detailed will provide the employee a

copy of the SDE and communicate the expectations to them within 30 days of the beginning of the temporary promotion or detail. For employees temporarily promoted or detailed for less than 90 days at the time of assessment, the permanent supervisor will evaluate the employee's contribution based on the permanent assignment and job category, and will seek inputs from the temporary supervisor concerning contributions during the detail or temporary promotion. For employees temporarily promoted or detailed for more than 90 days at the time of assessment, the temporary supervisor will evaluate the employee's contribution based on the temporary assignment and job category and provide to the permanent supervisor, who will prepare the final assessment; however, the temporary and permanent supervisors must reach consensus on the preliminary CCS score. If consensus cannot be reached, the permanent supervisor's PPM will resolve the CCS score. Pay pool funds and any CCS pay adjustment will be based on the employee's permanent basic salary. If the employee is on a temporary promotion at the time of the pay adjustment, they will be entitled to the greater of the temporary promotion basic salary increased by "G" or their permanent CCS adjusted basic salary. Upon movement back to the permanent position, the employee is entitled to the permanent CCS adjusted basic salary. The employee's permanent supervisor must maintain a record of the permanent CCS adjusted basic salary in order to appropriately set the employee's pay at the termination of the temporary promotion.

4.12. Records.

4.12.1. Procedures for maintaining AFRL Form 279, 280, and 281. Supervisors use AFRL Form 279, 280, and 281 to communicate broadband level descriptors, contribution expectations, professional qualities, and developmental and career opportunities. The AFRL 279, 280, and 281 are filed in the employee performance file (EPF).

4.12.2. Disposing of Records. When the OPF and EPF of an employee transfer to another AF activity, Federal agency, or the National Personnel Records Center, all contribution assessments that were maintained will be disposed of according to the AF RDS and locally established procedures.

4.13. CCS Grievance Procedures.

4.13.1. An employee may grieve an assessment received under CCS, using the administrative grievance system (AGS). Bargaining unit employees, whose negotiated grievance procedures cover performance rating grievances, must file assessment grievances under those negotiated procedures.

4.13.2. Local administrative processes under AGS will remain the same, except for areas that impact Lab Demo assessment process. The procedure outlined below should be followed for employees filing under AGS.

4.13.2.1. Employees present informal grievances orally or in writing to their first-level supervisor. The first-level supervisor should notify the servicing human resources specialist (employee relations) upon receipt of the grievance.

If both parties, supervisor and employee, agree to participate, the use of alternative dispute resolution (ADR) may be used to resolve informal grievances. If mediation is selected, the deciding meeting of managers (MoM) must convene prior to the mediation to discuss the contributions being assessed and to delegate authority to one member to participate in the mediation. If an OCS is ultimately changed, it may impact the employee's salary and broadband level.

4.13.2.2. For employees within a section, the branch chief MoM (comprised of the branch chief and section chiefs), is convened. The employee's input, as well as the input of the first level supervisor is discussed. The resulting decision, which may include individual factor score changes, is submitted for review by the division chief MoM (comprised of the division chief and branch chiefs). The decision on the informal grievance is rendered at the division chief MoM and signed by the grievant's division chief. (Refer to **Table 4.4**, Rule 1).

4.13.2.3. For employees within a branch and for section chiefs, the division chief's MoM (comprised of the division chief and branch chiefs), is convened. The employee's input, as well as the input of the first-level supervisor is discussed. The resulting decision, which may include individual factor score changes, is submitted for review by the PPM MoM, comprised of the PPM and division chiefs. The decision on the informal grievance is rendered at the PPM MoM and signed by the PPM. (Refer to **Table 4.4**, Rule 2).

4.13.2.4. For employees within a division and for branch chiefs, the PPM MoM (comprised of the PPM and division chiefs), is convened. The employee's input, as well as the input of the first-level supervisor, is discussed. The resulting decision, which may include factor score changes, is submitted for review and decision by AFRL/CA. (Refer to **Table 4.4**, Rule 3).

4.13.2.5. For division chiefs, and PPM direct reports, and Air Force Office of Scientific Research (AFOSR) employees, AFRL/CA will render informal grievance decisions. (Refer to **Table 4.4**, Rule 4).

4.13.2.6. Employees who disagree with the informal grievance decision may submit a formal grievance. The formal deciding official for section employees is the PPM (refer to **Table 4.4**, Rule 1)*. AFRL/CA is the formal deciding official for section chiefs and branch employees (refer to **Table 4.4**, Rule 2). Branch chiefs and division chiefs, division employees, PPM direct reports, and AFOSR employees will submit formal grievances to AFRL/CC (refer to **Table 4.4**, Rule 3 and 4) for decision. The formal decision is final with no opportunity for further review.

Table 4.4 All Pay Pools.

Rule	If Grievant is:	Recommending Body is:	Deciding Official for informal grievance is:	Deciding Official for formal grievance is:
1	Section Employee	Members of the Branch Chief level Meeting of Managers	Division Chief MoM*	Pay Pool Mgr*
2	Section Chief & Branch Employee	Members of the Division Chief Meeting of Managers	Pay Pool Manager MoM*	AFRL/CA*
3	Branch Chief & Division Employee	Members of the Pay Pool Manager Meeting of Managers	AFRL/CA	AFRL/CC
4	Division Chief, PPM Direct Reports, & AFOSR Employee	Not Applicable	AFRL/CA	AFRL/CC

Note: *In the event the PPM is involved in determining the OCS of an individual, the deciding official for informal grievances is AFRL/CA and the deciding official for formal grievances in this instance is AFRL/CC.

4.13.2.7. Once a decision is rendered, a copy of the letter informing the employee of the decision, including appropriate signatures, will be sent to AFRL/DPL by the TD. If the decision rendered requires changes to the C²S², AFRL/DPL will make appropriate changes to the C²S² (i.e., score and salary) and will generate a new AFRL Form 280 and forward it to the submitting TD.

4.13.2.8. If required as a result of the decision, a copy of the newly generated AFRL Form 280, with appropriate signatures, an RPA worksheet (refer to **Figure 4.4**), and the grievance checklist (refer to **Figure 4.5**) will be forwarded by the TD to AFRL/DPL and the servicing CPF for appropriate changes to the C²S² software and DCPDS.

Figure 4.4 RPA Information Sheet.

RPA IS Tracking #:			
Modern RPA #:			
Action Requested:			
Name:			
SSAN:			

Position Information

_____ New/Un-Established Position _____ Established Position

FROM		TO	
PP/SRS/GR:		PP/SRS/GR:	
Position Title:		Position Title:	
CPCN/Seq #:		CPCN/Seq #:	
MPCN:		MPCN:	
PAS:		PAS:	
OSC:		OSC:	
Symbol:		Symbol:	
FAC:		FAC:	
PEC:		PEC:	
AFSC:		AFSC:	
RCCC:		RCCC:	
Duty Station Cd:		Duty Station Cd:	
Duty Station:		Duty Station:	
Psn Sensitivity:		Psn Sensitivity:	
Security Access Req'd:		Security Access Req'd:	

JYL - Acq Career Level Required (Career Level):	N/A
JYM - Acq Contractor Job Site (Job Site):	
JYN - Acq Position Indicator (Critical Posn):	
JYP - Acq Job Specialty-1 (Job Specialty 1):	
JYQ - Acq Job Specialty-2 (Job Specialty 2):	
JYR - Acq Position Career Category (Career Category):	
JYS - Acq Program Indicator (Program Type):	
JYT - Acq Special Asgn (Special Assignment):	
Remarks	

Figure 4.5 Grievance Documentation Checklist.

Grievance Documentation Checklist			
Grievant Name: _____		SSN: _____	Office Symbol: _____
CCS Cycle: _____			
<input type="checkbox"/> Letter signed by grievance approving official, outlining results of grievance attached.			
	From	To	No Chg
<input type="radio"/> Overall score _____			
<input type="radio"/> Delta OCS _____			
<input type="radio"/> Base salary _____			
<input type="radio"/> G-increase _____			
<input type="radio"/> I-increase _____			
<input type="radio"/> Broadband Movement _____			
<input type="radio"/> Factor Score _____			
<input type="checkbox"/> Technical Problem solving _____			
<input type="checkbox"/> Communications/ Reporting _____			
<input type="checkbox"/> Corporate Resource Management _____			
<input type="checkbox"/> Technology/ Transition Transfer _____			
<input type="checkbox"/> R&D Business Development _____			
<input type="checkbox"/> Teamwork and Leadership _____			
<input type="checkbox"/> Revised AFRL Form 280 Parts I and II attached			
<input type="checkbox"/> Copy of original AFRL Form 280 Parts I and II attached			
<input type="checkbox"/> RPA Worksheet completed and forwarded to servicing CPF			
<input type="checkbox"/> Checklist and attachments submitted to Lab Demo Project Office			
<p>Once all documentation has been submitted to the Project Office and to the servicing Civilian Personnel Flight, please verify that DCPDS has been updated (to include salary, OCS, etc.) before closing the file on this action.</p>			
<input type="checkbox"/> Verified that DCPDS has been updated (to include salary OCS, etc.)			

Table 4.5 Processing Instructions for Personnel Actions.**Table 4.5a Personnel Actions Required for General Adjustments and Bonuses.**

Type Of Action	NOA Code	Nature Of Action (NOA)	Authority Code
Change to higher/lower level under CCS	894	Gen Adjustment	Z2U/P.L. 103-337
Contribution-based Compensation System (CCS) pay increase (without level adjustment)	894	Gen Adjustment	Z2U/P.L. 103-337
Contribution-based bonus (only applicable at top of level iv)	991	Air Force Demo Bonus	Z2U/P.L. 103-337
Voluntary pay reduction or pay raise declination	894	Gen Adjustment	Z2U/P.L.103-337

Table 4.5b Remarks Codes to be Used on Personnel Actions (as Appropriate)

Remarks Code	Remark
Local	Salary in block 20 includes Contribution-based Compensation System (CCS) total increase of \$_____ (amount of increase) and a locality adjustment (or other geographic adjustment) applicable in this area.
Local	Change in broadband level as a result of salary migration to next higher level.
Local	Change in broadband level as a result of salary migration to next lower level.
Local	In accordance with regulations governing pay administration for your pay plan, the amount in block 20 reflects a voluntary decrease in total salary of \$_____, per your request dated _____.
Local	Block 18 has been reduced to the next lower broadband level due to this voluntary reduction in salary.

4.14. AF Form 860A, *Civilian Rating of Record*. As long as AF career field management utilizes performance factors, supervisors of Lab Demo employees will assign the nine performance factors during the November and December timeframe. The performance factors identify an employee's promotion potential and represent work behaviors, whereas the CCS ratings measure the employee's contribution to the mission of the organization. Supervisors assign the nine factors and the pass and fail rating is derived by the OCS and uploaded to the personnel data system in early to mid-January with an effective date of 1 January. CCS assessments below the upper rail will receive a rating of "Pass" and AAZ assessments will receive a rating of "Fail." AF Form 860A is not required for DR-IVs, however, the overall performance rating is derived from the CCS rating and uploaded into DCPDS. Supervisors must document the AF Form 860A and be prepared to discuss the performance factor scores with employees no later than January of each year. The completed AF Form 860A is filed in the employee's EPF and the discussion documented in the AF Form 971.

Chapter 5

HANDLING INADEQUATE CONTRIBUTIONS

5.1. Objective.

5.1.1. An objective of the CCS is to equitably compensate employees for their contribution to the laboratory mission. Lab Demo provides that employees may be reassigned, their compensation may be reduced, or they may be removed from the Federal service based solely on a determination that their contribution to the laboratory is not at a level commensurate with their present level of compensation.

5.1.2. The Federal Register dated November 27, 1996, which implemented Lab Demo, waived the requirements of law governing performance appraisals and performance-based reduction-in-grade and removal actions. However, the procedures established for Lab Demo are similar to and replace the requirements under 5 CFR 432.

5.2. Identification.

5.2.1. Employees are identified for supervisory action when their contribution versus compensation plots above the upper rail of the SPL. This is an unacceptable condition, and the employee is considered to be in the AAZ. Such a determination may be made during the CCS assessment process or at any time during the year if a previously acceptable contribution level deteriorates to a level within the AAZ. If an employee's contribution deteriorates during the year, the responsible group of supervisors for the employee's pay pool may convene to review the circumstances, warranting a recommendation to take further action on the employee. **Attachment 8** provides the flowcharted AAZ procedures.

5.2.2. For any employee in the AAZ, a contribution improvement plan (CIP) must be completed, unless an exception is granted by the PPM, and discussed with the employee. There are rare circumstances that may warrant a memo for record (MFR) as provided for in paragraph **5.4.5.**, instead of a CIP. In addition to CCS scores, performance appraisal factors and pass/fail ratings are maintained for Lab Demo employees in order to keep them competitive for merit promotion purposes. If an employee is considered to be in the AAZ, they are assigned an overall performance rating of 'fail.' To ensure employees are aware of this rating, it should be included in the CIP or MFR provided to the employee.

5.3. Action Required.

5.3.1. CIP.

5.3.1.1. Placing an employee on a CIP is a formal action that requires the supervisor to inform the employee in writing of their failure to contribute at an adequate level and that their performance appraisal overall performance rating is 'fail.' The first-level supervisor prepares the CIP and coordinates it with the next higher-level supervisor prior to the employee's compensation feedback session.

5.3.1.2. It is important for management to be able to justify how the employee's assessment score will increase based upon the successful completion of the CIP. **Attachment 6** provides an example of the layout and the level of information that should be included in the CIP. However, because each case is unique, contact the servicing CPF for guidance and assistance. The TD SPA should also be kept apprised of the situation.

5.3.1.3. Although Lab Demo simplifies many personnel processes, there are still procedural requirements to consider, and the servicing CPF is best equipped to ensure such actions are executed in compliance with regulatory guidance. Specifically, the following information should be included in the CIP:

5.3.1.3.1. Identify the specific areas where the employee has failed to contribute at an adequate level using the AFRL Form 280, Part II, and the AFRL Form 279, etc. Identify specific expectations and examples of how the employee is not meeting those expectations (i.e., suspenses not met, unfinished projects, etc.)

5.3.1.3.2. Specifically identify what the employee must do to demonstrate a level of contribution that is commensurate with their level of compensation (i.e., meet suspenses, finish projects, etc.) and provide a timeline providing specific dates for accomplishment of identified contributions.

5.3.1.3.3. Identify the assistance the supervisor will provide to the employee. Such assistance may cover a wide range of options including, but not limited to, on-the-job or formal training, mentoring, counseling, and self-study.

5.3.1.3.4. Relate the consequences of failure to achieve the necessary level of contribution, i.e., reassignment, reduction in pay, removal.

5.3.1.3.5. Provide the employee a minimum of 60 calendar days to demonstrate an increased level of contribution.

5.3.1.4. A copy of the CIP is provided to the employee at the time of the employee compensation feedback session or alternate time if exception is approved and worked through the CPF. In such cases, the employee will be notified that a CIP is forthcoming. A copy is retained with the employee's AF Form 971. The servicing CPF and the next higher-level supervisor will also receive a copy.

5.4. Follow-on Action.

5.4.1. Management must provide the full period of time offered the employee to improve his/her level of contribution. At the end of the employee's CIP, the appropriate level meeting of managers will reconvene to determine if an appropriate level of contribution has been attained.

5.4.2. Extension of CIP. If there are extenuating circumstances or the employee has shown progress but the level of contribution is not yet appropriate after the designated improvement period, an MFR may be initiated to extend the improvement period. However, the CIP cannot be extended into the next CCS cycle.

5.4.3. Appropriate Contribution at End of CIP.

5.4.3.1. If the employee's contribution, reaches an appropriate level at the end of the improvement period of a CIP, an MFR will be prepared within 30 days, informing the employee that they have satisfactorily completed the requirements specified in the CIP, and that no further action will be taken at this time. The employee will not receive another CCS assessment until the next rating cycle. The MFR will inform the employee that if the current level of contribution is maintained through the duration of the current assessment cycle, they should not be in the AAZ after the next CCS assessment.

5.4.3.2. It is important to inform the employee that if their level of contribution in any of the six factors falls outside appropriate limits within two years from the beginning of the opportunity period, action may be taken to either reassign the employee, or issue a proposal to reduce pay or remove from Federal service. There is no requirement to provide another CIP to the employee at that time. These actions may be initiated immediately.

5.4.4. Failure to Contribute at an Adequate Level at End of CIP.

5.4.4.1. Within 30 days, the first-level supervisor must initiate action if the employee has not reached an appropriate level of contribution after the designated improvement period. The action may be a non-adverse action, such as a reassignment to a position where the employee may be better able to contribute to the mission, or an adverse action, such as issue a proposal to reduce the employee's pay or remove the employee from Federal service. If the employee is reassigned, the first-level supervisor must inform the employee of their contribution status and of the decision to reassign. No appeal rights are available for non-adverse actions.

5.4.4.2. It is important to understand that if either a pay reduction or removal is considered appropriate, it is initiated as a proposed action and not a final decision. The first-level supervisor prepares and issues a proposal letter to reduce the employee's pay or remove the employee from Federal service. This letter will specify the instances where the employee has failed to contribute at an adequate level on which the action is based and inform the employee of their rights. Although Lab Demo provides a simpler process for taking the actions described herein, it does not affect employees' due process rights under 5 U.S.C. to challenge actions that involuntarily reduce their pay or remove them from Federal service. These rights include an advance 30-day notice (which may be extended for a period not to exceed an additional 30 days); specific instances of failures to contribute at an adequate level by the employee on which the action is based; a reasonable time to reply to a proposed action orally, in writing, or both; the right to representation of their choice; and the right to review all documentation supporting the proposed action. Until these rights have been offered and a reasonable time provided to execute them, a final decision may not be issued. The governing labor agreements for bargaining unit employees and the servicing personnel specialist should be consulted at all stages of the process.

5.4.4.3. A higher-level supervisor prepares and issues a decision letter if a pay reduction or removal from Federal service is still considered appropriate after the employee's response has been considered. The letter will inform the employee of any applicable appeal or grievance rights as specified in governing administrative and negotiated grievance procedures, and any other complaint process, such as EEO complaint procedures. A decision to reduce pay or remove an employee for failure to contribute may be based only on those instances of inadequate levels of contribution that occurred during the two-year period ending on the date of issuance of the proposed action.

5.4.4.4. Supervisors are responsible for documenting and defending the conclusions that the employee's level of contribution is inadequate and will preserve all supporting documentation and make it available for review by the affected employee or designated representative. At a minimum, the supervisor's records will consist of a copy of the notice of proposed action; the written answer of the employee or a summary thereof when the employee makes an oral reply; and the written notice of decision and the reasons, therefore, along with any supporting material, including documentation regarding the opportunity afforded the employee to demonstrate increased levels of contribution. If the employee's contribution is deemed adequate for 2 years from the date of the advance written notice, any entry or other annotation of the proposed action will be removed from all laboratory records relating to the employee.

5.4.5. Memo for Record.

5.4.5.1. In some instances, an MFR may be issued to an employee placed in the AAZ, such as if an employee is placed only slightly above the upper rail and the withholding of “G” will align the employee within the rails. The MFR serves as notification to the employee that they have failed to contribute at an adequate level and should basically identify and document the same information as the CIP (refer to **Attachment 7**). It should identify the specific areas where the contribution level is inadequate and that the performance appraisal overall rating is ‘fail;’ identify what the employee must do to demonstrate an acceptable level of contribution; should state consequences of not increasing their level of contribution, and specifically, should state that a CIP will be initiated if the level of contribution is not increased. The use of an MFR requires PPM approval.

5.4.5.2. A copy of the MFR is provided to the employee and another copy retained with the employee’s AF Form 971. The servicing CPF and the next higher-level supervisor will also receive a copy.

5.4.6. Contribution Regression. If an employee’s contribution increases to a higher level and is again determined to deteriorate in any area within 2 years from the beginning of the opportunity period, management may initiate reduction in pay or removal with no additional opportunity to improve. If an employee has contributed appropriately for 2 years from the beginning of an opportunity period and the employee’s overall contribution once again declines, management must afford the employee an additional opportunity to demonstrate increased contribution prior to initiating adverse action procedures.

5.4.7. Voluntary Pay Reduction and Pay Raise Declination.

5.4.7.1. A provision exists under Lab Demo authority for an employee to request a voluntary reduction in pay or to decline a pay raise. Although the rationale behind such a voluntary request varies, under CCS a voluntary request for a pay reduction or voluntary declination of a pay raise would effectively put an overcompensated employee’s pay closer to the SPL. Since an objective of CCS is to properly compensate employees for their contribution, the granting of such requests is consistent with this goal. However, under normal circumstances, all employees should be encouraged to advance their career through increasing contribution rather than trying to be under-compensated at a fixed level of contribution.

5.4.7.2. In order to be considered, employees must submit a request for voluntary pay reduction or pay raise declination during the 30-day period immediately following the annual payout, and show reasons for the request. Management must consider and fully document all requests and provide reasons for approval or denial of such requests. Consideration should be given to the employee’s reason for the

request, the amount of pay reduction requested, the employee's CCS rating, and any other extenuating circumstances. The PPM must approve all requests.

5.4.7.3. Since approval of such requests will place the employee closer to the SPL, the CIP may no longer be necessary or may need to be modified to a lower level of contribution requirements. This is the only instance when a CIP may be terminated earlier than the opportunity period provided. Consequently, management must document the reasons for approving the request, prepare a new CIP or terminate the CIP by documenting in a MFR the new contribution requirements expected, and advise the employee that a new CIP may be initiated if contribution once again deteriorates to an inadequate level. (Refer to **Table 5.1.**)

Table 5.1 Handling Inadequate Contributions.

Type Of Action	NOA Code	Nature Of Action (NOA)	Authority
Reduction in pay	894	Gen Adjustment	Z2U/P.L. 103-337
Reassignment	721	Reassignment	Standard Auth
Removal			
Under CCS	330	Removal	Z2U/P.L. 103-337
Other	330	Removal	Standard Auth

Chapter 6

LABORATORY ORGANIZATIONAL STRUCTURE AND UNIT MANNING DOCUMENT (UMD)

6.1. Introduction. AFMC Strategic Plans and Programs Office (HQ AFMC/A8) delegated approval authority for organizational changes to the laboratory structure at the three-letter level and below to AFRL/CA when the laboratory was established in 1997. Similarly authority for “zero balance” changes has been delegated to AFRL.

6.2. Organizational Changes at the Three-Letter Level and Below.

6.2.1. In order to document changes to the AFRL organizational structures at the three-letter level and below, the directors of the TDs and AFRL staff must submit the revised organizational structure to AFRL/DP. AFRL/DP will validate the changes in accordance with their usual procedures and will ensure proper coordination prior to AFRL/CA review. To ensure that this process operates as smoothly as possible, early and frequent coordination with AFRL/DP is paramount. Additionally, for organizational changes involving the creation or deletion of operating locations (OLs) and/or detachments (Dets), AFRL/DP will gain HQ AFMC/A1M approval.

6.2.2. Once AFRL/CA has approved the organizational change, AFRL/DP will notify the directorate or staff office of the approval. However, all OSC changes, additions, and deletions must be approved by AF/A1M so no UMD changes may be submitted until the TD receives notification from AFRL/DP. Upon notification, the organization will submit changes necessary for UMD processing. For informational purposes, AFRL/DP will inform AFMC/A1M and AFMC/A7 of these changes.

6.2.3. It should be noted, however, that while there are generally no major concerns associated with “vertical” changes (i.e., changes to the organizational structure below the three-letter level) there is considerable sensitivity to “horizontal” changes, especially if the “horizontal” change increases the number of individual three-letter organizational elements. This sensitivity is based upon existing guidance addressing the employee to supervisor ratios, among others. Thus, it is especially important that adequate coordination by AFRL/DP be achieved when AFRL/CA has approved changes to the organization structure that will result in an increase in the number of “horizontal,” three-letter organizational elements, or changes in supervisor/employee ratios, among others.

6.3. UMD. Most organizational changes will also necessitate changes to the AFRL UMD. The UMD is a relatively complex document, selected portions of which have been allocated for use and are under the purview of a number of the United States Air Force (USAF) and AFMC level functional offices. Authorized “zero balance” transactions include but are not limited to:

6.3.1. Moving existing positions within the laboratory (e.g., between directorates).

6.3.2. Changes in AF specialty codes (AFSCs) associated with officer and civilian positions.

6.3.3. Changes in the personnel accounting system (PAS) code of positions.

6.3.4. These changes must be accomplished within overall resource allocations and other existing guidelines.

6.3.4.1. Changes that are not permitted include, but are not limited to:

6.3.4.1.1. Creation or deletion of authorizations.

6.3.4.1.2. Conversion of military positions to civilian or vice versa.

6.3.4.1.3. Creation or deletion of rated position identifiers (RPIs).

6.3.4.1.4. Changes in AFSCs associated with enlisted positions.

6.3.4.1.5. Program element code (PEC) changes that are not offset.

6.3.4.1.6. Addition or deletion of advanced academic degree (AAD) codes without prior approval.

6.3.4.2. While authority to approve changes to the AFRL UMD has been delegated to AFRL, the requirement for complete, accurate, and auditable documentation for these changes has not changed. Changes to the UMD still must be processed by AFRL/DP to effect changes in the Manpower Programming and Execution System (MPES); thus the same documentation as used in the past is still required.

6.3.4.3. To effect changes in the UMD, the directorates will prepare the required paperwork and forward it through internal channels to AFRL/DP. AFRL/DP will take the actions necessary to ensure that the MPES is updated to reflect the UMD changes, unless exception is taken. Once again, early and frequent coordination with AFRL/DP will facilitate the smooth processing of these actions.

6.4. Directorate Personnel and Manpower Advisors. Within the AFRL, the directorate personnel and manpower advisors are the subject matter authorities for both organizational structure and UMD changes. It is strongly recommended that each directorate develop internal procedures to ensure that all proposed changes be coordinated through them. It is especially important that these individuals be involved early in any discussions, which will result in significant changes and a significant number of changes to the directorate structure and UMD. Furthermore, it is recommended that the senior personnel and manpower advisor serve as each directorate's single POC for interfacing with AFRL/DP. This will help ensure that the required documentation exists for all organizational and UMD changes within each directorate, and will facilitate data collection required to support the quality improvement measures selected.

Chapter 7

VOLUNTARY EMERITUS CORPS

7.1. Introduction.

7.1.1. Under Lab Demo, AFRL/CC was given authority to offer retired or separated employees voluntary assignment to S&E positions in the laboratory. This authority has been redelegated to the PPMs. This guidance is provided primarily to assist laboratory managers and AFRL/CC in the administration of the Voluntary Emeritus Corps (VEC) program.

7.1.2. The PPMs have the authority to offer voluntary assignments to retired or separated Federal employees (including those who have accepted a buy-out). Volunteers will provide valuable on-the-job training or mentoring to less experienced employees. Laboratory managers must recommend an applicant for participation in the VEC. Everyone who applies is not entitled to a voluntary assignment. There is no waiting period after retirement or separation before accepting a voluntary assignment.

7.2. Procedures.

7.2.1. To be considered for the VEC the applicant must complete and submit the AFRL Form 28, *Volunteer Emeritus Corps Application*, to the directorate in which they wish to volunteer and provide a resume, which states what they hope to contribute to the mission.

7.2.2. The supervisor(s) considering the volunteer will review the package and either concur or non-concur. Rejections require written notification from the PPM to the volunteer and documentation of the reasons for the rejection. The laboratory must retain the documentation for two years.

7.2.3. The initial request package and the AFRL Form 28 are forwarded to the PPM for approval.

7.2.4. After reviewing the request package, the PPM will prepare a statement of concurrence addressed to the selecting supervisor, sign AFRL Form 28 and return the package, with original signatures, to the selecting supervisor. Representatives of the installation Judge Advocate General and the CPF will sign the AFRL Form 28. When the AFRL Form 28 is finalized, the volunteer will be advised of the decision by the selecting supervisor. The volunteer may not begin voluntary service until the AFRL Form 28 is finalized by the CPF. The supervisor must maintain a copy of the package until the assignment is terminated (or for two years, whichever is later). The supervisor or the volunteer may terminate the agreement at any time with 10 working days written notice.

7.2.5. If the PPM does not concur with the supervisor's decision to admit a volunteer to the VEC, a detailed statement of non-concurrence must be prepared and addressed to the supervisor. The package is returned to the supervisor, who must maintain a copy of the

package for two years from the date of submission. The volunteer is advised of the decision by the supervisor.

Chapter 8

PERSONNEL TRAINING, DEVELOPMENT, AND RECOGNITION

8.1. Introduction.

8.1.1. Trained and educated civilian personnel are a critical resource with which organizations accomplish their AF mission. Quality civilian training and development programs are essential in maximizing the efficiency of these employees in accomplishing their jobs and responsibilities. Such training and development programs are a crucial component of Lab Demo, which endeavors to maximize the contribution from laboratory personnel.

8.1.2. It is further recognized that AF personnel make many personal and professional sacrifices to ensure that the AFRL discovers, develops, and delivers affordable warfighting technologies to our aerospace forces and retains preeminence as a world leader at the frontier of aerospace research and development. Acts of distinguished service, outstanding achievement, and exceptional contribution deserve special recognition. Recognizing outstanding achievement is a key management responsibility, critical to stimulating and sustaining high levels of proficiency and productivity. As such programs foster morale, incentive, and esprit de corps, a flexible awards program is an essential element of the AFRL.

8.2. Training and Development Opportunities.

8.2.1. Current Authority.

8.2.1.1. The AF actively promotes training and education as a means of maximizing the capabilities and effectiveness of its civilian personnel (AFPD 36-4). A varied assortment of training opportunities is currently available, e.g., long-term and short-term full-time training, training with industry, etc. These professional developmental activities are retained under Lab Demo.

8.2.2. Expanded Developmental Opportunities Program.

8.2.2.1. The AFRL Expanded Developmental Opportunities Program (DOP) is available for both the S&E professionals within Lab Demo and all scientific and professional (ST) employees in the laboratory. This program provides opportunities for personnel to acquire knowledge and expertise that cannot be acquired in the standard working environment. These activities should enhance the employee's contribution upon his or her return to the organization. PPMs have authority to approve assignments under this program.

8.2.2.2. The spectrum of available activities under this program is limited only by the constraint that potential contribution to the organization's mission exists. The program can be used to expand the training opportunities cited above, e.g., training

with industry or on-the-job work experience with public, private, or nonprofit organizations. It may enable a researcher to spend time in an academic environment such as advanced academic teaching or research. An individual may also take advantage of this program to devote full-time effort to writing technical papers, articles, books, etc. However the time is spent, the objective of this program is to provide renewed vivacity and motivational change of pace. Final approval authority rests with the PPM, who must ensure that each developmental opportunity benefits both the laboratory and the individual employee.

8.2.2.3. A developmental opportunity period will not result in loss of (or reduction in) pay, leave, or credit for time in service. The employee will be required to sign a continuing service agreement (CSA), committing to serve at least 3 times the length of the developmental assignment. In the event the employee fails to fulfill the CSA (except for good and sufficient reason as determined by the directorate, the employee shall be liable to the US for payment of all expenses (including compensation). The amount shall be treated as a debt due the US Government.

8.2.2.4. Requests for a developmental opportunity must be made by the employee, through the appropriate chain-of-command, to the PPM and contain the following information.

8.2.2.4.1. Name and organization.

8.2.2.4.2. Proof of eligibility.

8.2.2.4.3. Proposed location of the developmental opportunity, including any arrangements

8.2.2.4.4. Proposed, estimated time period, and costs for salary, tuition, per diem, travel, etc.

8.2.2.4.5. Purpose and objectives of the developmental opportunity.

8.2.2.4.6. Narrative description of the study plan or developmental opportunity.

8.2.2.4.7. Expected contribution to the employee's professional development and to the mission(s) of the laboratory.

8.2.2.4.8. Reasonableness as to the employee's ability to achieve the objectives.

8.2.2.4.9. A signed continuing service agreement, committing to serve at least three times the length of the developmental assignment upon completion of the program.

8.3. Awards and Recognition.

8.3.1. Current Authority.

8.3.1.1. AF senior leadership has established a comprehensive civilian awards program to recognize outstanding accomplishments, exceptional achievement, as well as personal and professional sacrifices made by AF personnel. Meaningful recognition fosters morale and esprit de corps and is an essential element to sustaining proficiency, efficiency, and productivity (AFPD 36-28, *Awards And Decorations Programs*).

8.3.1.2. The AF civilian awards program is divided into several categories: cash incentive awards, honorary awards, functional or professional awards, and organizational awards. Air Force Instruction (AFI) 36-1004, *Managing the Civilian Recognition Program*, provides authority for numerous awards established and sponsored by the AF. A brief list of awards, (refer to **Figure 8.1**), recognized under AFI 36-1004 are listed below. (Refer to **Table 8.1** for processing instructions).

Figure 8.1 Award Types.

Medal/Trophy/Plaque	Exemplary Civilian Service
Merchandise	Meritorious Civilian Service
Award Luncheon	Exceptional Civilian Service
Letter/Certificate of Appreciation	Distinguished Civilian Service
Letter/Certificate of Commendation	Outstanding Civilian Career Service
Time Off	Command Valor
Productivity cash incentive	Air Force Valor
Special Act or Service (including Notable Achievement)	Award Sponsored by External Organizations

Table 8.1 Processing Instructions for Personnel Actions for Awards.

Type Of Action	NOA Code	Nature Of Action (NOA)	Authority Code
Awards			
Time-off	846	Time off award	Standard Auth
Suggestions	842	Suggestion award	Standard Auth
Inventions	842	Invention award	Standard Auth
Special Act Or Service (including Notable Achievement)	840	Special act or service award	Standard Auth

8.3.1.3. The diverse assortment of individual, group, and organizational awards will be retained under Lab Demo, the sole exception being the elimination of performance-based awards.

8.3.2. Expanded Civilian Recognition Awards. AFRL/CC has been delegated the authority by the AF to develop an awards program commensurate with the goals and objectives of the laboratory mission, along with all award approval authority previously vested in the installation commander (i.e., up to \$10,000). The PPM has award approval authority for cash awards up to \$7,600. The PPM determines the amount of the awards pool within directorate budget limitations.

Chapter 9

REDUCTION IN FORCE

9.1. Introduction.

9.1.1. Lab Demo will follow the reduction in force (RIF) procedures set forth in the CFR, Part 351, except as provided in the Federal Register notice implementing Lab Demo.

9.1.2. AFRL management, in consultation with the servicing CPF, is responsible for all decisions concerning what positions are to be abolished, whether a RIF is necessary and when it is to take place, once a determination has been made that workload changes have occurred or previous reorganizations have created a surplus of employees within Lab Demo. In accordance with DoD policy, the servicing CPF may offer Voluntary Early Retirement Authority and Voluntary Separation Incentive Program (VERA/VSIP) prior to RIF in order to reduce the number of involuntary separations.

9.1.3. When a RIF is necessary it is the responsibility of AFRL to inform employees and management as soon as possible of plans or requirements for the reduction. The servicing CPF and SPA will be responsible to explain the regulations governing RIF and provide assistance for affected employees.

9.2. Competitive Areas. A competitive area defines the organizational unit(s) and geographical area(s) in which employees compete during a RIF. A separate competitive area will be established by geographic location for all AFRL personnel included in Lab Demo regardless of the directorate to which assigned.

9.3. Competitive Levels. The AFRL, in conjunction with the servicing CPF, will establish competitive levels consisting of all positions in a competitive area that are in the same broadband level and occupational family. That is, positions, which are similar enough that the incumbent of one position could succeed in the new position without any loss of productivity beyond that normally expected in the orientation of any new, but fully qualified employee. The servicing CPF will assign appropriate competitive level codes.

9.4. RIF Retention Registers.

9.4.1. In Lab Demo, retention registers will be developed and maintained as defined by 5 CFR Part 351. Competing employees will be classified on a retention register on the basis of their tenure of employment. Within each of these groups, veteran's preference will be applied to create three sub-groups; veterans with service-connected disabilities of 30 percent or greater; all other veterans; and all non-veterans.

9.4.2. Within each of these sub-groups, employees will be separated according to length of service, using the adjusted service computation date (SCD). The method for applying additional years of service for adjusted SCD determination will be in accordance with the

Lab Demo Federal Register. The value of the OCS in determining additional service credit for RIF will be as follows.

9.4.2.1. For broadband levels I through III, CCS assessment scores below the lower rail (a delta X greater than +0.30) will equate to 20 additional years of service. Scores on or above the lower rail and on or below the SPL (a delta X equal to or greater than 0.00 and less than or equal to +0.30) will equate to 16 years of service. Scores on or below the upper rail and above the SPL (a delta X equal to or greater than -0.30 and less than 0.00) will be credited with 12 years of service. No additional years of service will be given for assessment scores above the upper rail (a delta X less than -0.30).

9.4.2.2. Because of the upper pay limit imposed on broadband level IV and the slope of the SPL, employees at the top salaries of that level have no opportunity to score below the lower rail. Therefore, only three categories of additional service credit will be defined for RIF purposes within broadband level IV. CCS assessment scores on or below the SPL (a delta X equal to or greater than 0.00) will equate to 20 years of service. Scores above the SPL and on or below the upper rail (a delta X equal to or greater than -0.30 and less than 0.00) will be credited with 12 years service. No additional years of service will be given for assessment scores above the upper rail (a delta X less than -0.30).

9.4.3. Employees with less than 90 days in Lab Demo at the time of the CCS assessment cycle will be presumed to be at the location of the intersection of their salary with the SPL, which is equal to a Delta X of 0.00.

9.4.4. Employees coming from other rating systems will have their SCD adjusted based on the three most recent assessments or performance ratings in a four-year period as follows: For ratings from other systems, which include one or more levels above fully successful (level 3), employees will be credited with 12 years for level 3, 16 years for level 4, and 20 years for level 5. Ratings from other systems that have no levels above fully successful (level 3) receive credit based on Lab Demo modal CCS assessment category for the respective appraisal period.

9.4.5. An employee who has received less than three annual ratings of record shall be ranked based on the actual contribution assessment(s) or performance appraisal(s) received. Therefore, if an employee has received only two actual ratings of record during the period, the value of the ratings is added together and divided by two (and rounded in the case of a fraction to the next higher whole number) to determine the amount of additional retention service credit. If an employee has received only one actual rating of record during the period, its value is the amount of additional retention service credit provided.

9.4.6. If an employee has not received any rating of record during the four-year period, they will receive credit based on the modal rating that applies to the employees' official position of record at the time of the RIF. In accordance with AF policy, the modal rating is

the summary rating level assigned most frequently among the actual ratings of record that are given within the same competitive area.

9.4.7. An employee under Lab Demo shall be permitted to bump to a position that is no more than three levels lower than the broadband level from which released if the position is held by an individual who is in a lower tenure group or in a lower subgroup within the same tenure group. An employee may likewise retreat to a position that is no more than three levels lower than the broadband from which released if the position is held by an employee with lower retention standing in the same tenure group and subgroup.

9.4.8. An employee who is serving on a detail or temporary promotion will compete for RIF from the permanent position of record.

9.4.9. Employees serving under a contingent appointment (tenure group 3) will compete with other contingent employees. Accordingly, these employees will be listed at the bottom of the appropriate retention register and must be separated before any regular career employees can be released from the same competitive level.

9.4.10. To provide adequate time to determine employee retention standing, the AFRL, in consultation with the servicing CPF, will establish a cutoff date, a minimum of 30 calendar days prior to the establishment of the RIF retention registers, after which no new CCS assessments will be put on record and used for purposes of RIF.

9.4.11. To be creditable for purposes of RIF, an assessment must have been issued to the employee, with all appropriate review and signatures, and must be on record (e.g., the assessment is available for use by the office responsible for establishing retention registers).

9.4.12. Employees are credited with additional years of service based upon their Delta OCS. Since these additional years of service credit equate to a rating of record for RIF purposes under the GS performance management system, an employee in the AAZ is considered to have a rating of record equivalent to “minimally acceptable.” Therefore, in accordance with 5 CFR Part 351 an employee whose CCS assessment places them in the AAZ may only retreat to positions held by other employees whose assessments place them in the AAZ.

9.4.13. An employee who has received a written decision of demotion under the contribution based reduction in pay or removal procedures adopted for Lab Demo will compete in RIF from the position to which the employee will be or has been demoted. An employee who has received a written decision of removal will be listed apart from the retention register.

9.4.14. The appropriate supervisor or manager will be responsible for submitting an RPA, for each position identified to be cancelled. In addition, information concerning the reason for the RIF must accompany the signed RPA submitted to the servicing CPF for processing.

9.4.15. In accordance with 5 CFR Part 351, RIF notices must be issued in writing and provide employees with a minimum of 120 calendar days notice prior to the proposed RIF effective date if 50 or more employees will be separated by RIF. If less than 50 employees will be separated by RIF, a minimum 60 calendar days notice will be required. Employees are entitled to a second written notice of at least the same amount of days as the first notice if the agency decides to take an action more severe than first specified. (Refer to **Table 9.1** for processing instructions.)

Table 9.1 Processing Instructions for Personnel Actions Due to Reduction in Force.

Type of Action-Bad	NOA Code	Nature of Action (NOA)	Authority Code
Placement in lower broadband level	713	Change to lower grade	Standard Auth
Placement at same broadband level	721	Reassignment	Standard Auth
Reduction-in-force	356	Separation-RIF	Standard Auth

Determine Appropriate Remarks

Situation	Remarks Code	Remark
If employee is downgraded due to RIF	Local	The pay plan and grade, DR-(broadband level), of the position from which reduced is equivalent to GS-(grade)
If employee is separated due to RIF	Local	The pay plan and grade, DR-(broadband level), of the position from which separated is equivalent to GS-(grade)
If employee is placed on lower level position due to RIF or priority placement rights	Local	Grade and pay retention entitlements do not apply to the laboratory personnel demonstration project. However, employees placed on lower level positions as a result of RIF or the DoD priority placement program (PPP) are entitled to maintain their existing rate of basic pay.

9.5. Pay-Setting Provisions. The provisions of 5 CFR Part 536 (pay and grade retention) have been waived for Lab Demo, to include internal priority placement entitlements associated with pay and grade retention. However, Lab Demo employees moved to a lower broadband level through RIF procedures will have their pay set at their existing rate of pay, regardless of the broadband level assigned. Future compensation adjustments will be based upon the CCS assessment process and will be adjusted accordingly.

9.6. DoD PPP Entitlements.

9.6.1. Employees scheduled for separation or reduction in broadband level due to RIF will be registered in the PPP Program A during the notice period. Upon separation, those employees will continue to be registered in Program A for 1 year after the date of separation.

9.6.2. Because employees are registered in PPP using the GS grade-level equivalent and may be considered for placement in other agencies, a determination must be made as to

their GS registration entitlements. Based upon the following explanation, employees will be registered in PPP in the appropriate GS grade for the broadband level they are leaving.

9.6.2.1. Where a broadband level includes a single GS grade, employees are considered to have attained the grade commensurate with the broadband level they are leaving and will be registered in PPP accordingly. Where broadband levels include multiple grades, employees are considered to have progressed to the next higher grade within that broadband level when they have been in that level or higher for one year and their salary equals or exceeds the minimum salary of the next higher grade of the broadband. If an employee attained the higher grade of the broadband level prior to entering Lab Demo, they would maintain the higher grade, regardless of length of time in Lab Demo.

Chapter 10

FORMS

10.1. Forms.

10.1.1. Prescribed Forms:

AFRL Form 28, *Volunteer Emeritus Corps Application*.

10.1.2. Adopted Forms:

AF Form 971, *Supervisor's Employee Brief*; SF 50, *Notification of Personnel Action (NPA)*; SF 52, *Request for Personnel Action*; OGE Form 450, *Confidential Financial Disclosure Report*; AF Form 860A, *Civilian Rating of Record*; AFRL Form 278, *Statement of Duties and Experience (SDE)*; AFRL Form 279, *S&E Feedback*; AFRL Form 280, *S&E Contribution Evaluation*; AFRL Form 280, *S&E Contribution Evaluation*; and AFRL Form 281, *Employee Self Assessment*.

MICHAEL L. CARLSON
Colonel, USAF
Chief of Staff

Attachment 1**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

5 CFR Part 432, *Performance Based Reduction in Grade and Removal Actions*, January 1, 2007

5 CFR Part 536, *Grade and Pay Retention*, January 1, 2007

5 CFR Part 351, *Reduction-in-Force*, January 1, 2007

5 CFR 771, *Administrative Grievance System (AGS)*, January 1, 2007

29 CFR Part 1614, *Equal Employment Opportunity Complaint Procedure*, January 1, 2007s

AFI 36-507, *Mobilization of the Civilian Work Force*, July 24, 1994

AFI 36-1004, *Managing the Civilian Recognition Program*, September 16, 2004

AFI 36-1203, *Alternative Dispute Resolution (ADR)*, May 1, 1996

AFMAN 36-203, *Staffing Civilian Positions*, December 12, 2002

AFMAN 37-123, *Management of Records*, August 31, 1994

AFPD 36-4, *Air Force Civilian Training, Education, and Development*, February 12, 2004

AFPD 36-28, *Awards and Decorations Programs*, August 1, 1997

AFRLI 36-101, *Laboratory Personnel Demonstration Project's Contribution-Based Compensation System*, October 30, 2006

AFRLPD-36-1, *Laboratory Personnel Demonstration Project Administration*, November 30, 2004

Federal Register, Vol. 61, No. 230 dated November 27, 1996, *Laboratory Personnel Management Demonstration Project*

Federal Register, Vol. 64, No. 14 dated January 21, 2000, *Laboratory Personnel Management Demonstration Project, Amendment*

Federal Register, Vol. 70, No. 200 dated October 15, 2005, *Laboratory Personnel Management Demonstration Project, Amendment*

OGE Form 450, *Confidential Financial Disclosure Report*, January, 2007

Office of Personnel Management (OPM) Introduction to the Classification Standards, March, 1990

Office of Personnel Management (OPM) Qualification Standards Handbook for General Schedule Positions, August 19, 2004

Public Law 103-337, National Defense Authorization Act for Fiscal Year 1995, October 5, 1994

Section 101 of the Federal Workforce Flexibility Act of 2004 amended Sections 5753 and 5754 of Title 5, United States Code, October 30, 2004

Terms

Acceptable Contribution - Placement in any zone below the upper rail.

Alpha - The total number of pay pool dollars available divided by the total number of dollars required to bring all employees up to the SPL. Indicates the proportion of each employee's positive Delta Y that can be bought back during the current cycle with available pay pool funds.

Alpha Delta Y - The name of the standard algorithm in C²S² software that converts overall contribution score (OCS) into pay adjustments. Derived from the fact that employees's positive Delta Y (dollars below the SPL) is multiplied by the pay pool's Alpha to compute their pay adjustment.

Applicant - A person who has asked to be considered for a job. An applicant may be a current employee of the agency, an employee of another agency, or a person who is not currently employed by any agency.

Applicant Supply File - An applicant supply file includes applications received from individuals who are not currently employed by the Federal government and have no reinstatement eligibility. The file will also include a list of positions for which applications are being accepted.

Assessment Feedback - The first-level supervisor conducts the assessment feedback session. This feedback session is to discuss the CCS assessment, discuss developmental and career opportunities and expectations for the upcoming cycle.

Automatic Attention Zone (AAZ) - The area above the upper rail of the SPL (also known as zone A).

Band IV Bonus - When a Band IV employee's OCS indicates that they should receive a base pay increase that would place them over the GS-15/step 10 pay cap; they may receive the difference as a one-time lump-sum bonus payment.

Broadband - The pay range for a position. The DR broadbands were initially derived by combining GS grades (Level I = GS-7 through 11; Level II = GS-12 and 13; Level III = GS-14; and Level IV = GS-15).

C²S² Software - Contribution-based Compensation System Software. The suite of software tools used to support and implement CCS, consisting of a web-based Oracle database, on-line Oracle applications for interacting with the database, and Excel applications (spreadsheets) for working off-line.

Candidate Supply File - A candidate supply file includes applications received from individuals who are either currently employed by Federal agencies other than AF or who have reinstatement eligibility. The file will also include a list of positions for which applications are being accepted.

Career Appointment - Competitive appointment to a permanent position in Lab Demo.

Change to Lower Grade - The change of an employee to a position with a lower broadband level. CCS-driven movement to a lower broadband is not considered a change to lower grade and is processed as a pay adjustment action.

Compensation - In the context of CCS, compensation only refers to basic pay and Band IV bonuses. Other forms of compensation, such as locality pay and awards, are not affected by CCS.

Compensation Results - Compensation results are given once OPM releases new pay tables and compensation has been finalized and approved. The final AFRL Form 280 Part I and II are generated providing the employee with their new salary, and broadband movement (if applicable). The AFRL Form 280 is signed by the employee and filed in the employee AF Form 971 file. A copy of the AFRL Form 280 is given to the employee. Grievance period begins at this time.

Contingent Appointment - Competitive appointment to a position that will last a maximum of 4 years. The nature of action and authority code for term appointments will be used in the modern DCPDS and on employee records.

Contribution-based Compensation System (CCS) - Along with broadbanding, CCS is the centerpiece of AFRL's Lab Demo. It is an innovative system that measures each employee's overall contribution to the lab's mission as the weighted average of six factor scores, and then determines the value of that overall contribution (i.e., the appropriate annual base pay for that level of contribution) from a SPL. Each employee's base pay is then adjusted toward the appropriate level each year, with the amount of adjustment determined by funding available in the pay pool.

CCS Zones/Rail Areas - Employees are categorized into one of the following four zones or rail areas each year based on their Delta OCS:

Zone A - Delta OCS less than -0.3 (may not receive a pay increase greater than G, although current AFRL policy does not authorize any pay increase in this zone)

Zone B - Delta OCS less than 0.0 but greater than or equal to -0.3 (must receive a pay increase of at least "G")

Zone C - Delta OCS of 0.0 or higher, but less than or equal to 0.3 (same pay rules as Zone B)

Zone D - Delta OCS of more than 0.3 (must receive a pay increase of at least "G"+"I")

CCS Dead Zone - The period of time from 1 October each year until the start of the first pay period in the next calendar year. Gains, losses, promotions, and demotions occurring during this period require special handling in CCS.

CCS Factors - The following are the six factor on which each employee's contribution to the lab's mission is rated.

- Technical Problem Solving (TPS)
- Communications/Reporting (CR)
- Corporate Resource Management (CRM)
- Technology Transition/Technology Transfer (TTT)
- R&D Business Development
- Teamwork and Leadership (T&L)

CPC - CCS Process Coordinator. A designated individual in each pay pool responsible for advising and assisting the PPM, division chiefs, and first-level supervisors on the CCS process.

Crediting Plan - Documentation of the selection criteria used to fill a position. This documentation should include the specific requirements of the position, the relative weight given to each specific requirement, the KSA used to meet the requirement, and the anchors, and benchmarks developed to differentiate between candidates.

Data Maintainer - A designated individual in each pay pool responsible for entering and updating employee data in C²S² software.

Decimal Scores - Numeric scores ranging from 1.0 to 4.9 (with 0.0 and 5.9 available for exceptions) assigned to each employee's contribution on each of the six factors. Decimal scores are assigned during the first-level meeting of managers.

Delta OCS - The difference between an employees' actual OCS and their expected OCS, based on their current basic pay and the SPL.

Delta Y - The difference between an employee's actual basic pay and what their pay should be based on their OCS and the Standard Pay Line.

Detail - The temporary assignment of an employee to a different position or different duties for a specified limited period of time, with the employee returning to their normal duties at the end of the assignment.

Discretionary “I” - A portion of the pay pool dollars set aside by the PPM for discretionary allocation. This money is not allocated via the algorithm in C²S² software.

DR - The pay plan designator for AFRL Lab Demo (replaces GS and GM).

Equitably Compensated - Placement in rail Zones B or C (“between the rails”).

Expected OCS - The OCS corresponding to an employee’s basic pay. This is the level of contribution expected of the employee, given their pay.

Factor Comments/Write-Ups - Written narratives describing an employee’s contributions (typically, activities and their impacts) on each of the six factors. Employees generally start the process by describing their own contributions. The employee’s first-level supervisor then edits these comments.

General Cost of Labor Increase (G) - The government-wide annual civil service pay adjustment given to Federal agencies by congress and the administration each year to maintain competitive salaries with the private sector. The increase is split each year between basic pay and locality pay. The basic pay increase is automatically given to all Lab Demo employees who are on or below the upper rail. According to the Lab Demo Federal Register, employees above the upper rail may receive all or part of the increase; however, current AFRL policy does not allow any “G” for employees in this rail zone. All employees automatically receive the government-wide increases in locality pay, depending on the area in which they live.

Inadequate Contribution - Placement in the AAZ (also known as rail zone A, or being “above the upper rail”).

Incentive (I) Increase - The amount of money set aside by each pay pool for contribution-based pay increases, expressed as a percentage of the sum of annual basic pay rates for all Lab Demo employees in the pay pool as of 30 September each year. This pot of money replaces annual WGI, quality step increases, and promotions that would have occurred under the GS pay system. The AFRL Corporate Board sets the annual “I” percentage.

Job Category - All AFRL Lab Demo employees are categorized into one of the following six job categories. Each job category has its own set of weights that are applied to the six

contribution appraisal factors.

Bench Level S&E
Support S&E
Program Manager
Plans and Programs S&E
Teamwork and Leadership
Consultant

Job-Related Merit-Based Methodology - A methodology that measures worker characteristics (such as knowledge, skills, and abilities) needed to successfully contribute to the mission.

Meeting of Managers - There are typically two levels of managers meetings in each pay pool with the exception of those branches with sections. Second-level supervisors (normally division chiefs) with all of their subordinate supervisors (normally branch chiefs) chair the first-level meetings in attendance. The purpose is to review the narrative comments and preliminary category scores for all non-supervisory employees in the division and to assign final decimal scores. This process is called normalization since it attempts to level the rating standards across supervisors. The second-level meeting is chaired by the PPM with their division chiefs in attendance. The purpose of this meeting is to review the narrative comments and preliminary category scores for all first-level supervisors in the pay pool and to assign final decimal scores. Final decimal scores for employees who report directly to the PPM (i.e., division chiefs) are entered directly by the PPM and are not reviewed at a managers meeting. Compensation adjustments are normally also discussed at the second-level managers meeting. Starting with the 2005 cycle, branch chiefs who have sections run a managers meeting to set decimal scores for section employees. These scores are reviewed as part of the division level meeting.

Merit Promotion Program - The system under which agencies consider an employee for vacant positions on the basis of personal merit. Vacant positions are usually filled through competition with applicants being evaluated and ranked for the position on the basis of their experience, education, skills and performance or contribution record.

Mid-Cycle Feedback - Feedback on contribution during the first half of the rating cycle provided by first-level supervisors to all employees. This is typically done in April / May. This is not the same as interim feedback.

Notice of Personnel Action (NPA) - The NPA is completed by the personnel office and is used to notify the employee and payroll office, and to record the action in the employee's OPF. This replaces the SF 50.

Overall Contribution Score (OCS) - The weighted average of an employee's six factor scores. The weights depend on the employee's job category.

Pay Out Algorithm - There are currently two algorithms available for use by PPMs. They are Alpha Delta Y and the Two-Step.

Pay Pool - A group of employees whose salaries are pooled for the purpose of determining contribution-based pay increases. Within AFRL, pay pools are established along organizational lines with one for each of the nine TDs, plus one for AFOSR and one for the HQs.

Pay Pool Manager (PPM) - An individual officially designated to manage the CCS process in a pay pool. Within AFRL, all PPMs are either senior military officers or senior executive service as long as they are not in Lab Demo.

Personnel Action - The process necessary to appoint, separate, or make other personnel changes. A personnel action is effected on a NPA, which replaced the SF 50.

Presumptive Due to Circumstance - Employees who have been away from their normal duties for extended periods during the rating cycle (long-term, full-time training, active military duty, extended sick leave, leave without pay (LWOP), etc.) do not receive factor scores or narrative comments. Instead, at management's discretion, either they may have their previous OCS recertified, or they may be given the OCS corresponding to the intersection of their pay and the SPL.

Presumptive Due to Time - An employee who has been in Lab Demo for less than 90 days as of 30 September is presumed to be contributing at the appropriate level for their basic pay (i.e., at the intersection of their pay and the SPL). These employees do not receive factor scores or narrative comments. They receive "G" and may receive discretionary "I."

Preference Eligible - Veterans, spouses, widows, or mothers who meet the definition of preference eligible in 5 USC 2108. Preference eligibles are entitled to have 5 or 10 points added to their earned score on a civil service examination. They are also accorded a higher retention standing in the event of a reduction in force. Preference does not apply, however, to in-service placement actions such as promotion.

Preliminary Scores - Score ranges assigned to each factor by first-level supervisors. Rather than assigning an exact decimal score, first-level supervisors indicate a range of scores they think the employee's contribution falls within. These scores are refined into decimal scores in the meeting of managers (MoM).

Promotion - The term promotion is reserved for competitive placement of a qualified employee into a vacant position of a higher broadband. Under Lab Demo, employees selected for promotion will receive their existing salary or the minimum salary of the new broadband level, whichever is greater.

Note: Seamless movement through the broadband levels is determined through contribution and salary level. Resulting changes in broadband levels require re-accomplishment of an SDE to document the change in title and level, and are processed at the same time the CCS payout is processed. Such movement through the broadband levels is not considered a competitive promotion action.

Reasonable Period - Intended to be flexible to allow the supervisor to adjust, as circumstances require. A minimum improvement period is set at 60 calendar days.

Reassignment - The change of a qualified employee from one position to another without promotion or demotion.

Recruitment Incentive - A one-time payment to an employee who is newly appointed to a hard-to-fill position.

Reinstatement - Noncompetitive reemployment of a person formerly employed in the competitive service that had competitive status or was serving probation when separated. There is no time limit on the reinstatement eligibility of a preference eligible (veterans, spouses, widows or mothers who meet the definition of preference eligible in **Para 2.3**) or a person who completed the service requirement for career tenure. Non-preference eligible's that have not completed the service requirement for career tenure may be reinstated only within 3 years following the date of separation.

Relocation Incentive - A one-time payment to a current employee who relocates to take a hard-to-fill position.

Reporting Alpha - Reporting alpha is computed as the dollars spent on incentive increases and Band IV bonuses divided by the sum of the positive delta Y amounts for the pay pool. It can be computed even if discretionary "I" or the two-step algorithm are used.

Request for Personnel Action (RPA) - The RPA is used by operating officials or supervisors to request personnel actions. This replaces the SF 52.

Retention Incentive - The annual total dollar amount paid to an essential employee with unusually high qualifications or special skills in those cases where the agency determines that the employee would be likely to leave Federal employment if no allowance were paid.

Standard Pay Line (SPL) - The line that relates basic pay to contribution each year. The line was established for the first CCS cycle (1997) through a regression analysis of actual AFRL S&E salaries. Since then, "G." has inflated it each year.

Statement of Duties and Experience (SDE) - A document establishing the duties, responsibilities, and experience required for an AFRL S&E position. It replaces the PD.

Suitability - A requirement or requirements for government employment having reference to a person's character, reputation, trustworthiness, and fitness, as related to the efficiency of the service. The following reasons may be considered a basis for finding an individual unsuitable: misconduct or negligence in prior employment; criminal or dishonest conduct related to the duties to be assigned; intentional false statement or deception or fraud in examination or appointment; alcohol abuse of a nature and duration, which suggests the applicant would be prevented from adequately performing the duties of the position; illegal use of narcotics, drugs, or other controlled substances (without evidence of rehabilitation); knowledge and willful

participation in acts or activities to overthrow the U.S. government; or any statutory or regulatory bar to Federal employment. Mitigating circumstances include the nature, circumstances, recency, and seriousness of the conduct; the age of the applicant at the time of the conduct; contributing societal conditions; and/or the absence or presence of rehabilitation or efforts toward rehabilitation.

Supplemental “I” - The AFRL Lab Demo Federal Register requires that if an employee plots below the lower rail, they must receive a pay increase percent equal to at least “G”+“I.” The standard payout algorithms (Alpha Delta Y or Two Step) do not adhere to this rule in rare instances. When this occurs, additional money (called supplemental “I”) is added to the employee’s pay increase to bring the percent up to “G”+“I.”

Target Pay - The basic pay corresponding to an employee’s OCS. This is the amount of money the employee should be earning, given his or her level of contribution.

Two-Step Algorithm - An alternative to the standard Alpha Delta Y algorithm in C²S² software. The two-step algorithm is only available in an off-line compensation spreadsheet. It first moves all employees who are below the lower rail up to the lower rail. It then uses the Alpha Delta Y algorithm to allocate any remaining funds. This algorithm is primarily intended for pay pools that have had a large number of employees below the lower rail year after year. It directs more money to these individuals to move them between the rails more quickly.

Vouchering - Obtaining from reliable sources whatever additional information is required to make a reasonable judgment as to the applicant’s acceptability and capabilities for employment. Vouchering must be conducted before final selection of applicants. For additional information, see AFMAN 36-203.

Attachment 2

BROADBAND LEVEL DESCRIPTORS

Level I Descriptors

Descriptor Title	Descriptor
Technical Problem Solving	Conducts in-house technical activities and may provide contract technical direction with guidance from supervisor or higher-level S&E. Works closely with peers in collectively solving problems of moderate complexity involving, limited variables, precedents established in related projects, and minor adaptations to well-established methods and techniques. Recognized within own organization for technical ability in assigned areas.
Communications/Reporting	Provides data and written analysis for input to scientific papers, journal articles, and reports and assists in preparing contractual documents and reviews technical reports (TRs); work is acknowledged in team publications. Effectively presents technical results of own studies, tasks, or contract results. Material is presented either orally or in writing, within own organization or to limited external contacts. Conducts these activities under the guidance of a supervisor and team leader.
Corporate Resource Management	May coordinate elements of in-house work units or assist in managing a scientific or support contract. Uses personal and assigned resources efficiently under the guidance of a supervisor or team leader. As an understanding of organizational activities, policies, and objectives is gained, participates in team planning.
Technology Transition/Technology Transfer	Participates as a team member in demonstrating technology and in interacting with internal and external customers. With guidance, contributes to technical content of partnerships for technology transition and transfer (advanced technology demonstrations [ATD], memorandums of understanding [MOU], joint director of labs/project reliance, cooperative research and development [R&D] agreements, and other dual-use vehicles). Seeks out and uses relevant outside technologies in assigned projects.
R&D Business Development	As a team member, communicates with customers to understand customer requirements. By maintaining currency in area of expertise, contributes as a team member to new program development. May technically participate in writing proposals to establish new business opportunities.
Teamwork and Leadership	Contributes to all aspects of teams' responsibilities. May technically guide or mentor less experienced personnel on limited aspects of scientific or engineering efforts. Receives close guidance from supervisor and higher-level scientist or engineer. Performs duties in a professional, responsive, and cooperative manner in accordance with established policies and procedures.

Level II Descriptors

Descriptor Title	Descriptor
Technical Problem Solving	Conducts in-house technical activities and provides contract technical direction to programs of moderate size and complexity with minimal oversight. Contributes technical ideas and conceives and defines solutions to technical problems of moderate size or complexity. Recognized internally and externally by peers, both in governmental and industrial activities, for technical expertise.
Communications/Reporting	Writes or is a major contributing author on scientific papers, journal articles, or reports and prepares contract documents and reviews reports pertaining to area of technical expertise. May assist in filing innovation disclosures, inventions, and patents. Effectively prepares and presents own and team technical results. Communicates work to varied laboratory, scientific, industry, and other government audiences. May prepare and present presentations on critical program for use at higher levels with some guidance.
Corporate Resource Management	Manages all aspects of technically complex in-house work units or one or more contractual efforts in assigned program area. Effectively plans and controls all assigned resources. Makes and meets time and budget estimates on assigned projects or takes appropriate corrective action. Participates in organizational or strategic planning at team level, taking cognizance of complementary projects elsewhere to ensure optimal use of resources
Technology Transition/Technology Transfer	Develops demonstrations and interacts independently with internal and external customers. As a team member, implements partnerships for TTT (ATD, MOU, joint director of labs/project reliance, cooperative R&D agreements, and other dual-use vehicles). Evaluates and incorporates appropriate outside technology in individual or team activities.
R&D Business Development	Initiates meetings and interactions with customers to understand customer needs. Generates key ideas for program development based on understanding of technology and customer needs. Demonstrates expertise to internal and external customers. Contributes technically to proposal preparation and marketing to establish new business opportunities.
Teamwork and Leadership	Contributes as a technical task or team leader; is sought out for expertise by peers; and participates in mentoring of team members. May guide on a daily basis, technical, programmatic, and administrative efforts of individuals or team members. May recommend selection or may select staff and team members. Assists in the development and training of individuals or team members. May participate in position and performance management. Receives general guidance in terms of policies, program objectives, and funding issues from supervisor and higher-level S&Es. Discusses novel concepts and significant departures from previous practices with supervisor or team leader.

Level III Descriptors

Descriptor Title	Descriptor
Technical Problem Solving	Conducts and directs technical activities and assists higher levels on challenging and innovative projects or technical program development with only broad guidance. Develops solutions to diverse, complex problems involving various functional areas and disciplines. Conducts and directs large programs in technically complex areas. Recognized within the laboratory, service, DoD, industry, and academia for technical expertise and has established a professional reputation in national technical community.
Communications/ Reporting	Lead author on major scientific papers, refereed journal articles, and reports and prepares and reviews contract documents and reviews reports of others pertaining to overall program. May document or file inventions, patents, and innovation disclosures relevant to subject area. Prepares and presents technical and financial and programmatic briefings and documentation for team, organization, or technical area. Prepares and delivers presentations for major projects and technology areas to scientific and government audiences. Reviews oral presentation of others. Communication and reporting functions conducted with minimal higher-level oversight.
Corporate Resource Management	Defines program strategy and resource allocations for in-house and contractual programs. For assigned technical areas, conducts program planning, coordination, and documentation (master plans, roadmaps, joint director of labs/reliance, etc.). Advocates to laboratory and higher headquarters (HQs) on budgetary and programmatic issues for resources. Based on knowledge of analytical and evaluative methods and techniques, participates in strategic planning at branch and division level. Considers and consults on technical programs of other organizations working in the field to ensure optimal use of resources.
Technology Transition/ Technology Transfer	Develops customer base and expands opportunities for TTT. Leads or serves as a key technical member of teams implementing partnerships for TTT (ATD, MOU, joint director of labs/project reliance, cooperative R&D agreements, and other dual-use vehicles). Ensures incorporation of outside technology within laboratory programs.
R&D Business Development	Works to establish customer alliances and translates customer needs to programs in a particular technical area. Develops feasible research strategies and business strategies for new technical activities. Seeks joint program coalitions with other agencies and funding opportunities from outside organizations. Pursues near-term business opportunities through proposals.
Teamwork and Leadership	Is sought out for consultation and mentors team members. Guides the research, technical and programmatic, and administrative efforts of individuals or teams with accountability for focus and quality. Recommends selection or selects staff and team members. Supports development and training of subordinates and team members. Participates in position and performance management. Receives only broad policy and administrative guidance from supervisor, such as initiation and curtailment of programs.

Level IV Descriptors

Descriptor Title	Descriptor
Technical Problem Solving	Independently defines, leads, and manages the most challenging, innovative, and complex technical activities and programs consistent with general guidance or independently directs overall R&D program. Conceives and develops creative solutions to the most complex problems requiring highly specialized areas of technical expertise. Recognized within the laboratory, service, DoD, and other agencies for broad technical area expertise and has established a professional reputation in national and international technical communities.
Communications/ Reporting	Lead or sole author on scientific papers, refereed journal articles, reports, or review articles, which are recognized as major advances or resolutions in the technical area and reviews and approves reporting of all technical products of mission area. May exploit innovations, which normally lead to inventions, disclosures, and patents. Prepares and presents technical and financial and programmatic briefings and documentation for breadth of programs at or above own level. As SME, prepares and delivers invited or contributed presentations, papers at national or international conferences on technical area, or gives policy level briefings. Singularly responsible for overall quality and timeliness of technical, scientific, programmatic reports and presentations of group and self.
Corporate Resource Management	Defines technology area strategy and resource allocations for in-house and contractual programs. For multiple technical areas, conducts overall program planning and coordination, and program documentation (master plans, roadmaps, joint director of labs/project reliance, etc.). Advocates to command, service, and agency levels on budgetary and programmatic issues for resources. Utilizing advanced analytical and evaluative methods and techniques, leads strategic planning and prioritization processes. Develops strategy to leverage resources from other agencies and ensures equitable distribution and appropriate use of internal resources.
Technology Transition/ Technology Transfer	Organizes, leads, and markets overall TTT activities for organization at senior management levels. Leads in formulation and oversight of ATD, MOU, joint director of labs/project reliance, cooperative R&D agreements, and other dual-use vehicles. Creates an environment that encourages widespread exploitation of both national and international technologies.
R&D Business Development	Works with the senior management level to stimulate development of customer alliances for several technical areas. Generates strategic research and business objectives for core technical areas. Recognizes warfighting trends, relates business opportunities, and convinces laboratory management to develop and acquire expertise and commit funds. Secures business opportunities supporting long-term mission relevancy through targeted proposals and processes.
Teamwork and Leadership	Establishes team charters and develops future team leaders and supervisors. Leads and manages all aspects of subordinates' or team members' efforts with complete accountability for mission and programmatic success. Recommends selection or selects staff, team leaders, and team members; fosters development and training of supervisory and non-supervisory individuals. Directs or recommends position and performance management. Works within the framework of agency policies, mission objectives, time and funding limitations.

Attachment 3

LAB DEMO SERIES DEFINITIONS

0101 - Social Science Series. This series covers positions the duties of which are to advise on, administer, supervise or perform research or other professional and scientific work in one or any combination of the social sciences when such work is not classifiable in other series of this occupational group.

0180 - Psychology Series. This series includes positions involving professional work relating to the behavior, capacities, traits, interests, and activities of human and animal organisms. This work may involve any one or a combination of the following functions: experimenting with or systematically observing organisms to develop scientific principles or laws concerning the relationship of behavior to factors of environment, experience, or physiology, or to develop practical applications of findings; applying professional knowledge of psychological principles, theories, methods, or data to practical situations and problems; and providing consultative services or training in psychological principles, theories, methods, and techniques to advance knowledge of them and their appropriate use.

0190 - General Anthropology. This series includes all classes of positions the duties of which are to advise on, supervise, or perform research or other professional and scientific work in the anthropological sciences except archeology. This work may be specialized in one or several of the branches of the scientific field, which includes ethnology, physical anthropology, and scientific linguistics.

0401 - General Biological Science Series. This series includes positions, which involve professional work in biology, agriculture, or related natural resource management when there is no other more appropriate series. Thus included in this series are positions that involve a combination of several professional fields with none predominant, or a specialized professional field not readily identified with other existing series.

0403 - Microbiology Series. Processes, genetics, taxonomy, and cytology as they relate to microorganisms and the products of their chemical activities; studies of the distribution of microorganisms in natural and manmade environments (including agricultural and nonagricultural products and food processing establishments), their reaction to physical and chemical factors in the environment, their role as pathogenic and immunizing. This series includes all classes of positions the duties of which involve the performance of scientific and professional work in the field of microbiology. Microbiology deals with the study of the characteristics and life processes of microorganisms, the interrelationships among microorganisms, their relationships to other living forms, and their reactions to the environment in which they are found. This includes work with the protozoa, bacteria, algae, fungi, viruses, rickettsiae, microscopic parasites and similar microscopic and submicroscopic forms; work in such fields as immunology, medical parasitology, physiology, serology, genetics, taxonomy, and cytology as they relate to microorganisms; studies of the form, structure, reproductive agents, and their isolation, cultivation, identification, and systematic classification; and work, which involves the development of scientific microbiological methods, procedures, and techniques, and

the production and use of microorganisms in agricultural, industrial, medical, sanitary, and other practical applications.

0413 - Physiology Series. This series includes all classes of positions the duties of which are to advise on, administer, supervise, or perform research or other professional and scientific work in the field of human and animal physiology, including studies of the functions, environmental response, and biological activities and processes of the basic living organism and its component parts.

0414 - Entomology Series. This series includes positions the duties of which are to advise on, administer, supervise, or perform professional and scientific work in the field of entomology, which requires a fundamental knowledge of the principles of the biological and physical sciences, which underlie the field, and a specific knowledge of the application of these principles to the solution of entomological problems.

0415 - Toxicology Series. This series includes positions the duties of which are primarily to administer advice on, supervise, or perform, research, analytical, advisory, or other professional and scientific work in the discipline of toxicology. Such work involves the study of adverse effects of chemical substances or similar agents on living organisms and the environment, and the assessment of the probability of their occurrence under specified conditions of use or exposure.

Toxicology: Involves the study of the interaction of chemical and physical agents and biological systems, the exploration of the nature and mechanisms of adverse reactions, and the assessment of the likelihood that adverse effects will occur. Requires the application of scientific knowledge including, but not limited to, pathology, anatomy, chemistry, biochemistry, microbiology, physiology, pharmacology, toxicology, and materials sciences (e.g., as they pertain to the interrelationships of composition, structure, and properties), but does not require full preparation for practice in any one of those disciplines, or full professional training in medicine or veterinary medicine.

0665 - Speech Pathology and Audiology. This series covers positions involving professional work in the study and treatment of human communications disorders, as reflected in impaired hearing, voice, language, or speech. The work requires professional knowledge of the nature of these disorders, their causes, and methods of therapeutic treatment. The work involves any one or a combination of the following functions: providing direct clinical services in the evaluation and resolution of communications disorders; providing graduate level training in communications disorders; planning and administering a comprehensive program for evaluating and treating communications disorders; and planning, administering, and performing laboratory and clinical research in communications disorders.

0701 - Veterinary Medical Science Series. This series includes positions that involve professional veterinary work to investigate, inspect, and deal with animal diseases, animal pollution, contamination of food of animal origin, health and safety of imported animals and animal products, safety and efficacy of many animal, as well as human, drugs and biological products, and cooperative enforcement activities involving both the public and private sectors.

Such positions require the degree of Doctor of Veterinary Medicine or an equivalent degree; a knowledge of current, advanced, or specialized veterinary medical arts and science principles and practices of the profession; and the ability to apply that knowledge in programs established to protect and improve the health, products, and environment of or for the Nation's livestock, poultry, or other species for the benefit of human, as well as animal, well-being.

0801 - General Engineering Series. This series includes all classes of positions the duties of which are to advise on, administer, supervise, or perform research or other professional and scientific work of a special or miscellaneous character, which is not specifically classifiable in any other engineering series, but which involves the application of a knowledge of such engineering fundamentals as the strength and strain analysis of engineering materials and structures, the physical and chemical characteristics of engineering materials such as elastic limits, maximum unit stresses, coefficients of expansion, workability, hardness, tendency of fatigue, resistance to corrosion, engineering adaptability, engineering methods of construction and processing, etc.; or positions involving professional work in several branches of engineering.

0803 - Safety Engineering. This series includes positions that require the performance of professional engineering work to eliminate or control hazardous conditions resulting from human error, equipment, and machine operations, which may lead to injury to persons and damage to property. The work requires the application of: advanced mathematical techniques; professional engineering principles, methods, and techniques; safety related elements of the physical sciences, ergonomics, psychology and physiology; and safety principles, standards, practices, and analytical techniques.

0804 - Fire Protection Engineering Series. This series includes all classes of positions the duties of which are to advise on, administer, supervise, or perform research or other professional and scientific work in the investigation or development of fire prevention projects, the design, construction, inspection, testing, operation, or maintenance of firefighting or fire prevention apparatus, appliances, devices and systems, or the testing of fire resistant materials.

0806 - Materials Engineering Series. This series includes professional positions in engineering, or in engineering and physical sciences, which are concerned primarily with the properties, processing, uses, and in-service behavior of engineering materials, where the work performed and the qualifications required are such that the position is not more characteristic of a series appropriate to some other academic discipline. The work is characterized by the following three qualifications requirements: a highly developed knowledge of materials and their properties, processing, uses, and behavior under environmental influences; an understanding of and the ability to utilize advances of the fundamental materials sciences, e.g., as they pertain to the interrelationships of composition, structure, and properties; and knowledge of and ability to apply pertinent engineering principles and practices including considerations such as cost, availability, fabrication, performance, and use.

0808 - Architecture Series. This series includes positions the duties of which involve professional architectural work, which typically requires: knowledge of architectural principles, theories, concepts, methods, and techniques; a creative and artistic sense; and an understanding

and skill to use pertinent aspects of the construction industry, engineering and the physical sciences related to the design and construction of new or the improvement of existing buildings.

0810 - Civil Engineering Series. This series includes professional positions in the field of civil engineering, typically requiring application of general knowledge of the physical sciences and mathematics underlying engineering, and specialized knowledge of mechanics of solids, particularly of soils, hydraulics, theory of structure, strength of materials, engineering geology, and surveying. Positions in this series have responsibility for management, supervision, or performance of planning, designing, constructing, and maintaining structures and facilities that provide shelter, support transportation systems, and control natural resources, investigating, measuring, surveying, and mapping the earth's physical features and phenomena, and R&D activities pertaining to knowledge of mechanics of solids, particularly of soils and hydraulics.

0819 - Environmental Engineering Series. This series includes positions that involve professional engineering work to protect or improve air, land, and water resources in order to provide a clean and healthful environment. Such work requires the application of professional knowledge of the principles, methods, and techniques of engineering concerned with facilities and systems for controlling pollution and protecting quality of resources and the environment, and an understanding of and the ability to utilize pertinent aspects of chemistry, biological sciences, and public health that pertain to the control or elimination of pollutants.

0830 - Mechanical Engineering Series. This series includes professional positions in the field of mechanical engineering typically requiring the application of thermodynamics, mechanics, and other physical, mathematical, and engineering sciences to problems concerned with the production, transmission, measurement, and use of energy, especially heat and mechanical power.

0840 - Nuclear Engineering Series. This series includes positions that involve professional engineering work, which is concerned primarily with the engineering principles and considerations relating to the atomic nucleus and the systems, processes, and materials required for the generation, controlled release, and utilization of nuclear energy. Nuclear engineering work requires the application of professional engineering knowledge in the research, development, design, construction, testing, installation, monitoring, operation, and maintenance of nuclear reactors (fission or fusion) and other nuclear systems and immediate auxiliary systems and equipment.

0850 - Electrical Engineering Series. This series includes professional engineering positions, which require primarily application of knowledge of the physical and engineering sciences and mathematics, electrical phenomena, and the principles, techniques, and practices of electrical circuits, circuit elements, equipment, systems, and associated phenomena concerned with electrical energy for purposes such as motive power, heating, illumination, chemical processes, or the production of localized electric or magnetic fields.

0854 - Computer Engineering Series. This series includes professional engineering positions, which require primarily the application of knowledge of fundamentals and principles of professional engineering, computer hardware, systems software, and computer system

architecture and integration, and mathematics, including calculus, probability, statistics, discrete structures, and modern algebra. The work pertains primarily to the research, design, development, testing, evaluation, and maintenance of computer hardware and software systems in an integrated manner.

0855 - Electronics Engineering Series. This series includes professional engineering positions, which require primarily application of knowledge of the physical and engineering sciences and mathematics, electronic phenomena, and the principles, techniques, and practices of electronics engineering. The work pertains primarily to electronic circuits, circuit elements, equipment, systems, and associated phenomena concerned with electromagnetic or acoustical wave energy or electrical information for purposes such as communication, computation, sensing, control, measurement, and navigation.

0858 - Biomedical Engineering Series. This series includes positions, which involve professional work in biomedical engineering. The work requires the application of engineering concepts and methodology to investigate problems and phenomena of living systems to advance the understanding of these systems and improve medical practices; to develop materials, instruments, diagnostic and therapeutic devices, and other equipment applicable in the study of life systems and the practice of medicine; and to improve health service delivery systems for communities and within individual institutional components (hospitals, clinics, or other activities). Biomedical engineering work requires in addition to knowledge and skill in engineering disciplines a background in physiology and anatomy, and a practical facility in specialized subject matter areas such as computer applications, electronics, or mathematics.

0861 - Aerospace Engineering Series. This series includes professional aerospace engineering positions involved in planning, research, development, design, T&E, analysis, production, fabrication, operation, type certification, and maintenance of aerospace vehicles or integrally associated equipment. It also includes positions involved in investigating phenomena encountered in aerospace flight, monitoring and analyzing unknown or unfamiliar aerospace vehicles, piloting aerospace vehicles, developing aviation safety standards and regulations, and positions providing staff leadership and guidance related to aerospace engineering programs. The work requires application of scientific and engineering principles in the field of aeronautics and astronautics, such as aerodynamics, aeroacoustics, astrodynamics, computational fluid dynamics, fluid mechanics, flight dynamics, flight structures, thermodynamics, flight propulsion, and energy conversion and use.

0892 - Ceramic Engineering Series. This series includes professional engineering positions concerned with the development or adaptation of materials, methods, and processes used in the manufacture of ceramic products; and with the design, construction and operation of industrial processes and equipment used in their production. Ceramic products may be considered as those composed of nonmetallic, inorganic minerals, which are subjected to high temperature during manufacture or use; and include crystalline materials with desired physical properties, cementitious materials, abrasives, refractories, porcelain enamels, structural clay products, whiteware, and glass products.

0893 - Chemical Engineering Series. This series includes positions that involve professional work in chemical engineering, including research, development, design, operation, evaluation, and improvement of processes, plants, equipment, methods, or products. The work involves changes in the chemical composition or physical state of materials and requires primarily application of knowledge of the principles and practices of chemical engineering, chemistry, and other scientific and engineering disciplines.

0896 - Industrial Engineering Series. This series includes positions that involve professional work in industrial engineering. Industrial engineering is that branch of engineering concerned with the planning, analysis, improvement, and installation of integrated systems of employees, materials, and equipment to produce a product or render a service. The work requires application of specialized professional knowledge and skill in the mathematical, physical, and social sciences together with the principles and methods of engineering analysis and design to specify, predict, and evaluate the results to be obtained from such systems.

1301 - General Physical Science Series. This series includes positions, which involve professional work in the physical sciences when there is no other more appropriate series, that is, the positions are not elsewhere classifiable. Thus, included in this series are positions that involve: a combination of several physical science fields with no one predominant or a specialized field of physical science not identified with other existing series.

1306 - Health Physics Series. This series includes positions that require primarily application of professional knowledge and competence in health physics, which is concerned with the protection of persons and their environment from unwarranted exposure to ionizing radiation.

1310 - Physics Series. This series includes all classes of positions the duties of which are to advise on, administer, supervise, or perform research or other professional and scientific work in the investigation and applications of the relations between space, time, matter, and energy in the areas of mechanics, sound, optics, heat, electricity, magnetism, radiation, or atomic and nuclear phenomena.

1313 - Geophysics Series. This series includes professional scientific positions requiring application of knowledge of the principles and techniques of geophysics and related sciences in the investigation, measurement, analysis, evaluation, and interpretation of geophysical phenomena and artificially applied forces and fields related to the structure, composition, and physical properties of the earth and its atmosphere.

1320 - Chemistry Series. This series includes all positions involving work that requires full professional education and training in the field of chemistry. This work includes the investigation, analysis, and interpretation of the composition, molecular structure, and properties of substances, the transformations, which they undergo, and the amounts of matter and energy included in these transformations.

1321 - Metallurgy Series. This series includes positions that require primarily professional education and training in the field of metallurgy, including ability to apply the relevant principles of chemistry, physics, mathematics, and engineering to the study of metals. Metallurgy is the art

and science of extracting metals from their ores, refining them, alloying them and preparing them for use, and studying their properties and behavior as affected by the composition, treatment in manufacture, and conditions of use.

1330 - Astronomy and Space Science Series. This series includes professional positions requiring primarily application of the principles and techniques of astronomy and physics in the investigation and interpretation of the physical properties, composition, evolution, position, distance, and motion of extraterrestrial bodies and particles in space.

1370 - Cartography Series. This cartography series includes positions, which require the application of professional knowledge and skills in the mapping and related sciences, and relevant mathematics and statistics to plan, design, research, develop, construct, evaluate, and modify mapping and charting systems, products, and technology.

1386 - Photographic Technology Series. This series includes professional positions the duties of which are to advise on, administer, supervise, or perform work, which requires interdisciplinary knowledge and skills in those scientific and engineering fields that comprise photographic technology. This work includes planning, research, design, development, modification, and instrumentation, T&E of photographic equipment and techniques involved in the taking, processing, viewing, and printing of photographic images. The work requires the ability to apply knowledge of the scientific principles of photography and those aspects of chemistry, physics, mathematics, and mechanical, electronic, and electrical engineering that relate to photographic technology.

1515 - Operations Research Series. This series includes positions, which involve professional and scientific work requiring the design, development, and adaptation of mathematical, statistical, econometric, and other scientific methods and techniques to analyze problems of management and to provide advice and insight about the probable effects of alternative solutions to these problems. The primary requirement of the work is competence in the rigorous methods of scientific inquiry and analysis rather than in the subject matter of the problem.

1520 - Mathematics Series. This series includes all positions the duties of which are to advise on, administer, supervise, or perform work which requires professional education and training in the field of mathematics. This work includes research on basic mathematical principles, methods, procedures, techniques, or relationships; the development of mathematical methods in the solution of a variety of scientific, engineering, economic, and military problems, where the exactitude of the relationships, the rigor and economy of mathematical operations, and the logical necessity of the results are the controlling considerations.

1529 - Mathematical Statistician Series. This series includes all classes of positions the primary duties of which are to advise on, administer, or perform professional work requiring the design, development, and adaptation of mathematical methods and techniques to statistical processes, or research in the basic theories and science of statistics.

1550 - Computer Science Series. This series includes professional positions, which primarily involve the application of, or research into, computer science methods and techniques to store,

manipulate, transform, or present information by means of computer systems. The primary requirements of the work are professional competence in applying the theoretical foundations of computer science, including computer system architecture and system software organization, the representation and transformation of information structure, and the theoretical models for such representations and transformations; specialized knowledge of the design characteristics, limitations, and potential applications of systems having the ability to transform information, and of broad areas of application of computing which have common structures, processes, and techniques; and knowledge of relevant mathematical and statistical sciences.

Attachment 4

FUNCTIONAL CLASSIFICATION CATEGORIES

Category Name	Code	Description
Research	011	Systematic, critical, intensive investigation directed toward the development of new or fuller scientific knowledge of the subject studied. It may be with or without reference to a specific application. The work involves theoretical, taxonomic, and experimental investigations or simulation of experiments and conditions to: determine the nature, magnitude, and interrelationships of natural and social phenomena and processes; create or develop theoretical or experimental means of investigating such phenomena or processes; and develop the principles, criteria, methods, and a body of data of general applicability for use by others. Excluded from this category is work concerned primarily with the administrative and monitoring of research contracts and research grants.
Research Contract And Grant Administration	012	The administration and monitoring of research contracts and research grants.
Development	013	Systematic application of scientific knowledge directed toward the creation of new or substantially improved equipment, materials, instrumentation, devices, and systems mathematical models, processes, techniques, and procedures which will perform a useful function or be suitable for a particular duty. The work involves such activities as: establishing requirements for technical objectives and characteristics; devising and evaluating concepts for design approaches: criteria, parameters, characteristics, and interrelationships; experimenting, investigating, and testing to produce new data, mathematical models, or methods to test concepts, formulate design criteria, and measure and predict natural and social phenomena and performance; designing and developing prototypes, breadboards, and engineering models including the direction of their fabrication as required; developing standards and test plans to assure reliability; and managing specific developments being executed in-house or under contract. Development, like research, advances the state of art, but it is further characterized by the creation of specific end-items in the form of equipment or equipment systems ("hardware" development) and methodologies, mathematical models, procedures and techniques ("software" development).
T&E	014	The testing of equipment, materials, devices, components, systems and methodologies under controlled conditions and the systematic evaluation of test data to determine the degree of compliance of the test item with predetermined criteria and requirements. This work is characterized by the development and application of test plans to be carried out in-house or under contract or grant utilizing one or more of the following kinds of tests: physical measurement techniques; controlled laboratory, shop, and field (demonstration) trials; and simulated environmental techniques. This category includes: development testing to determine the suitability of the test item for use in its environment; production and post-production testing to determine operational readiness; testing in regulatory programs to determine compliance with laws, regulations and standards; and testing in the social sciences using demonstration or experimental and

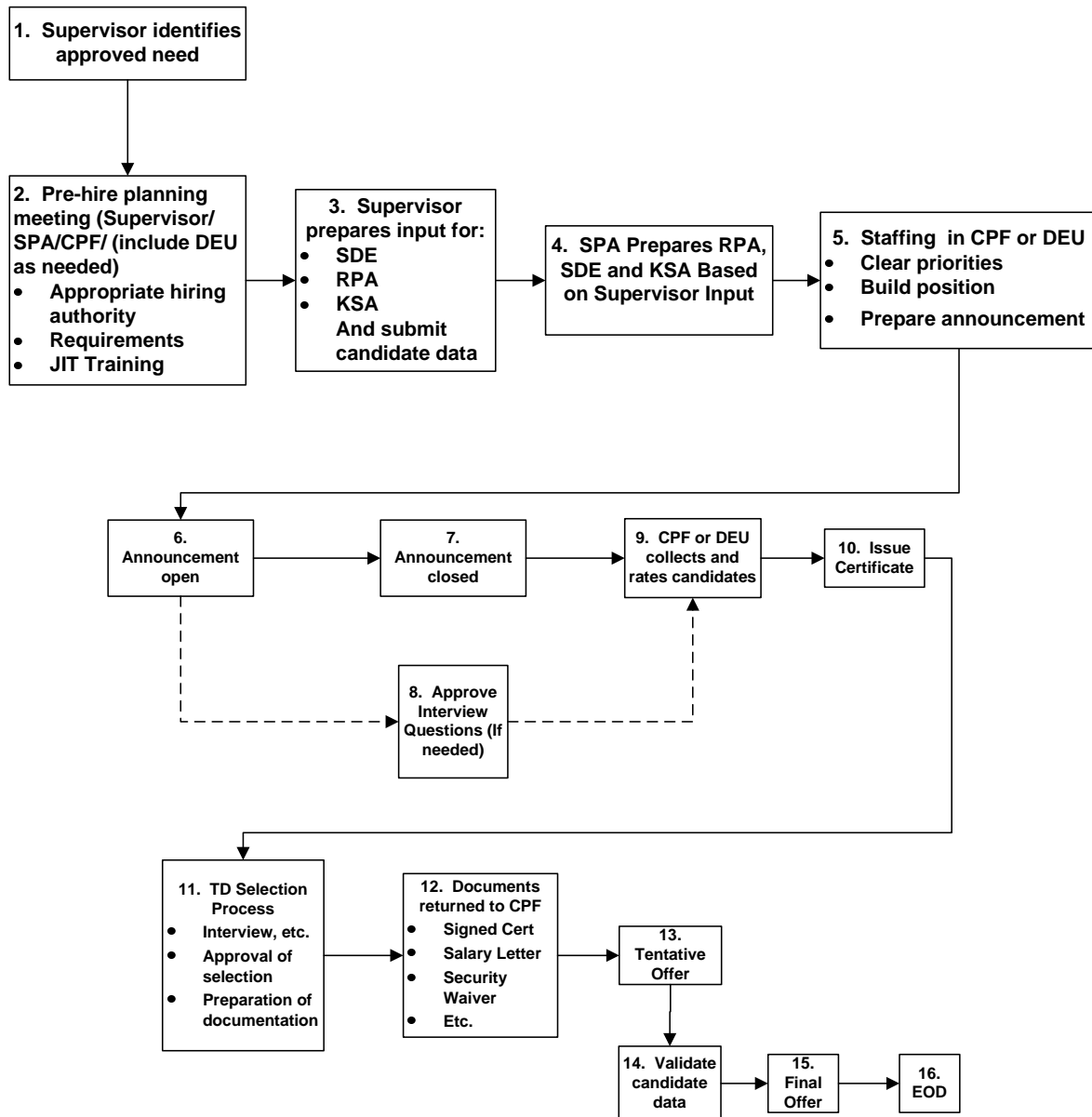
		control groups to determine the effectiveness of new methodologies or practices.
Design	021	The planning, synthesis, and portrayals for purposes of fabrication or construction of structures, equipment, materials, facilities, devices, and processes which will perform a useful function or be suitable for a certain duty. The work involves such activities as: investigating, analyzing, and determining needs and design considerations; planning, synthesizing, and proportioning the structure or mechanism so that the result is achieved with safety and economy; preparing design criteria, detailed designs, specifications, cost estimates, and operating instructions; and reviewing and evaluating design proposals and designs prepared by others including the management of architectural and engineering contracts. For present purposes, design in a R&D organization is the application of the known state of the art in the form of standard guidelines and references to prepare the detailed working plans and data required for fabrication, assembly, and production.
Construction	022	The original erection, repair, and improvement of structures that provide shelter for people and activities, support transportation systems, and control natural resources. The work involves surveillance and control of construction operations carried out in-house or under Federal grants, contracts, or loans through such activities as: conducting site surveys; reviewing and interpreting project plans and specifications; making cost analyses and estimates; layering out and scheduling operations; investigating materials, methods, and construction problems; negotiating with utilities, contractors, and agencies involved; and inspecting work in progress and completed work and final acceptance of completed work.
Production	023	The fabrication and manufacture of structures, equipment, materials, machines and devices. The work involves surveillance and control of production operations carried out in-house or under contract through such activities as: planning, directing, controlling, inspecting, and evaluating production processes, equipment, and facilities; refining designs to adapt them to production facilities and processes; and devising, applying, and monitoring procedures to measure and assure quality.
Installation, Operations, and Maintenance	024	The installing, assembling, operations, and proper technical operation and functioning of systems, facilities, machinery, and equipment. The work involves such activities as: analyzing operating and environmental conditions in order to provide design inputs and feedbacks and modifying designs as necessary to adapt them to actual environments; developing and determining logistic requirements, documentation, technical plans, procedures, controls and instructions; equipping, supplying, and commissioning facilities; analyzing performance and cost data and developing actual performance and cost data requirements; integrating equipment installation and operating schedules; managing on site an operating facility such as a power plant, test range, mission control center, irrigation station, data acquisition station, or flight control station; and managing installation, operations, or maintenance contracts.
Data Collection, Processing, and Analysis	031	This category includes the collection, processing, and analysis of general purpose scientific data describing natural and social phenomena. General and purpose scientific data include newly gathered statistics, observations, instrument readings, measurements,

		specimens, and other facts obtained from such activities as statistical and field surveys, exploration, laboratory analyses, photogrammetry, and compilations of operating records for use by others. The work involves such activities as: determining data needs and data processing requirements; planning, directing, and evaluating collection activities performed in-house or under contract; designing overall processing plans and systems to handle, control, operate, manipulate, reduce, store, check, and retrieve data; analyzing raw and processed data for validity and subject-matter interpretation; providing analytic services such as chemical analyses; forecasting and projecting data and conditions; and summarizing and presenting data for general use. Excluded from this category are collection and analysis of data only for R&D projects and internal operating or administrative purposes such as policy formulation and planning.
Scientific and Technical Information	032	The processing and dissemination of published and unpublished technical documents and information on work in progress and completed work to facilitate information and their use. The work involves developing and implementing information systems through such activities as: providing for the selection, acquisition, compilation, exchange, and storage of scientific and technical information; cataloging, abstracting, and indexing information for retrieval and dissemination; providing reference, literature search and bibliographic services for information users; interpreting, evaluating, and briefing on the significance and relevance of information; disseminating information through briefings, technical publications, and other communications media; and classifying and declassifying technical information where use must be controlled in the national interest.
Standards and Specifications	041	The preparation and determination of mandatory and specifications voluntary standards including rules, regulations, and codes. These standards are for purposes of: government regulation and the assuring of the acceptability, quality, and standardization of products, materials, and parts as required for design, production, purchasing, logistics, and documentation. The work involves the development of performance criteria, test and inspection methods, and data for the application of the standards to technological products and services.
Regulatory Enforcement and Licensing	042	The application and enforcement of laws, rules, regulations, orders, and governmental agreements through inspection, investigation, surveillance, licensing, certification, and similar activities. The work includes such activities as: licensing power plants and radio stations; enforcing plant or animal disease eradication programs; examining applications for patents; inspecting operations for compliance with requirements; approving utility rates and services; investigating aircraft accidents; allocating radio frequencies; and determining compliance with engineering aspects of Federal tax laws.
Natural Resource Operations	051	The development and utilization of Federally-owned and trust lands and natural resources for the operations purposes of bringing current use into balance with natural processes of renewal to assure sustained yields to meet present and future public needs. Natural resources include land, air, and water and their related products or uses, such as soil, minerals, forage, wildlife's power, and recreation. The work involves implementing programs and projects to inventory, classify, utilize, improve, conserve, regulate, protect, sell, lease, exchange, or market natural resources. Resource operations as defined here are

		concerned with managing and conserving the land and resources in a specified geographic area.
Clinical Practice, Counseling, and Ancillary Medical Services	081	The provision of direct clinical and related services to patients and clients including examining, testing, diagnosis, treatment, therapy, casework, counseling, disability evaluation, and related patient care.
Planning	091	The study and projection of present and future needs and the formulation of alternative policies and ways of meeting these needs for the utilization of: land, natural, social, industrial, material and manpower resources; physical facilities; and social and economic services and programs. The work involves: gathering, compiling, analyzing, and evaluating data; projecting needs and establishing goals; developing single or alternative plans, policies, programs, and recommendations and measures of their economic, social, and political costs, benefits, and feasibility; and reevaluating progress to assure that plan objectives are realized in putting the plans into effect. This category includes physical, economic, and social planning for land population centers and missions, policy, and program planning.
Management	092	The direction and control of S&E programs in any one or combination of functions in a line or staff capacity with responsibilities that have a direct and substantial effect on the organizations and programs managed. The work involves decisions, actions, and recommendations that establish the basic content and character of the programs directed in terms of program objectives and priorities, program initiation and content, funding, and allocation of organizational resources. This category is not intended to cover those primarily engaged in the supervision or monitoring of work carried out through contracts and grants or in contracts and grants administration. Such positions are to be coded to the appropriate function.
Teaching and Training	093	The teaching of scientific and technical subjects: the education and training of scientific and technical personnel in-house and through programs consisting of fellowships, traineeships, and training grants; and the development of curricula and training materials and aids.
Technical Assistance and Consulting	094	The provision of scientific and technical expert assistance, consultation, and advice to other scientific personnel; foreign governments; government agencies at the federal, state, or local level; private industry; organized groups, and individuals. The work involves advising upon and promoting application of the results of research and specialized program knowledge.
Other (Not Elsewhere Classified)	099	This category is to be used for: positions with highly specialized activities which are not classified or covered in any of the categories; positions of such generalized nature that a primary function cannot be identified; and trainee positions for which functional assignments have not been made.

Attachment 5

FLOWCHART FOR EXTERNAL FILL ACTIONS



External Fill Action Process

1. Supervisor identifies need to fill a Lab Demo position and has obtained authority to proceed with fill action in accordance with Directorate-specific process.
2. Meeting is established between supervisor, SPA, and CPF to discuss appropriate hiring authority, job requirements, and necessary documentation.
3. Supervisor prepares input for SDE, RPA, KSA, and candidate specific data, if known.
4. Based on supervisors input the SPA prepares RPA, SDE, and KSAs for submission to the servicing CPF.
5. RPA package is submitted to the CPF where priorities are cleared, position is built, and job announcement is prepared either by external staffing or DEU depending on hiring authority selected.
6. Vacancy announcement opens.
7. Vacancy announcement closes.
8. If interviews will be conducted, interview questions are submitted to the CPF for approval prior to interviews.
9. CPF or DEU collects resumes and rates candidates.
10. Certificate of qualified candidates is issued to the supervisor.
11. Using Directorate-specific process interviews are conducted, tentative selection made, approval of selection, and necessary documentation prepared.
12. Signed certificate, salary letter, security waiver, etc., is returned to the CPF.
13. Tentative job offer is made by the CPF.
14. CPF validates candidate data (DD214, transcripts, etc.).
15. Final job offer is made by the CPF and entrance on duty date is established.
16. Employee enters on duty.

Attachment 6

SAMPLE NOTIFICATION OF PLACEMENT ON CONTRIBUTION
IMPROVEMENT PLAN (CIP)

DEPARTMENT OF THE AIR FORCE
AIR FORCE RESEARCH LABORATORY
WRIGHT-PATTERSON AIR FORCE BASE OHIO 45433

Memo for AFRL/WXYZ (Dr. Joseph P. Blough)

Date

From: AFRL/WXYZ

Subject: Notification of Placement on Contribution Improvement Plan (CIP)

1. This is to inform you that your assessed contribution to the AFRL/WXYZ mission is not commensurate with your current salary level and places you in the Automatic Attention Zone (AAZ) when plotted against the Standard Pay Line (SPL). In an effort to improve your contribution to AFRL/WXYZ and the WX mission, you are being placed on a Contribution Improvement Plan (CIP).

2. The Contribution-based Compensation System (CCS) assessment addresses six factors: technical problem solving, communications/ reporting, corporate resource management, technology transition/transfer, R&D business development, and teamwork and leadership. The specific areas in which you need to increase your level of contribution are in *(Insert factor names with Delta-OCS less than -.3.)* One goal of the AFRL Demonstration Project is to have every employee's compensation commensurate with his/her contribution and vice versa. Attached is a CIP that describes instances of inadequate contribution and explains the necessary steps that must be taken to improve your assessed contribution to a level commensurate with your salary level. This plan will be in effect for a period of *(Note: Minimum time is 60 days. Employee must be afforded a reasonable period of time to demonstrate increased contribution commensurate with the duties and responsibilities of their position.)*

At that time your contribution will be reassessed and a determination made as to the next course of action. In addition to achieving adequate contribution in the factors identified above, you must also maintain an adequate contribution level in the remaining factors.

3. During the improvement period, you will be provided reasonable assistance to improve your contribution. The assistance to be provided is outlined in the attached CIP.

4. If you wish me to consider any medical condition that may be contributing to your inadequate contribution level, you may furnish medical documentation to me for evaluation. Medical documentation should include such information as history, diagnosis, clinical findings, prognosis, etc. and should be provided to me within the opportunity to improve period.

5. Additional information on the CCS and related areas can be found on the Lab Demo web site at: <https://www.my.af.mil/gcss-af/afp40/USAF/ep/globalTab.do?command=org&channelPageId=-1465492>

This site includes information from the Federal Register (Volume 61, No 230, November 26, 1996, Page 60419, Section E), on the meaning of the AAZ and the procedures for addressing the contribution of employees. Additional information is contained in Chapter 4 and 5 of the AFRLMAN 36-XXX. *(Note: Provide a copy to the employee if necessary.)* I am also available to discuss CCS or any other aspect of the project.

6. As stated above, your contribution is not commensurate with your level of compensation. As provided in the Federal Register, (Volume 61, No 230, November 26, 1996, Page 60418, Section D. 8.), a provision exists for employees to request voluntary pay reduction or pay raise declination. If you choose to request this option, you must do so during the 30-day period immediately following the annual payout. You can refer to the Federal Register and to Chapter 5 of the AFRLMAN 36-104 for further information. *(Note: This paragraph should not be included in a notification done during the assessment year, since this option would not be available at that time.)*

7. My goal is that you will improve your level of contribution so that it is commensurate with your salary level. However, I must point out that should this not occur by the completion of the CIP, possible follow-on action may include reassignment, proposal to reduce pay, or proposal to remove. This is a serious situation and should not be taken lightly. Clearly, you must be more aggressive in making more significant contributions. This may entail your seeking situations and/or opportunities, which will enable you to improve your contribution. Management stands ready to assist you as much as possible in achieving this goal. If you have additional questions, please contact me.

Betty Supervisor, Chief
Decision Tree Branch
Power Cell Division

(Possible) Attachments:

1. Federal Register
2. SDE and Descriptors
3. Chapter 4 and 5 – AFRLMAN 36-XXX
4. AFRL Form 279, S&E Feedback Form
5. AFRL Form 280, S&E Annual Contribution Evaluation Form

CONTRIBUTION IMPROVEMENT PLAN

For Dr. Joseph P. Blough

XX December XXXX – XX April XXXX

(Minimum 60 days)

This Contribution Improvement Plan (CIP) delineates the Contribution Factors for which your contributions were not adequate relative to your level of compensation for the past assessment cycle. It also describes the improvements required to achieve an overall contribution score that will result in your being placed on or below the upper rail to the Standard Pay Line during the next assessment cycle. Additionally, this CIP outlines the assistance that will be made available to help you monitor and improve your contribution. The expectations for improved contributions described herein expand on the duties and expectations outlined in your AFRL Form 278, "Statement of Duties and Experience" and your AFRL Form 279, "Mid-Year Feedback." The accomplishment of the duties, in and of themselves, does not guarantee a successful level of contribution. Your focus must be on achieving the desired contributions to the mission as a result of successful accomplishment of the assigned duties.

a. *Contribution Factor 1 - Technical Problem Solving: Conducts in-house technical activities and/or provides contract technical direction to programs of moderate size and complexity with minimal oversight. Contributes technical ideas and conceives and defines solutions to technical problems of moderate size or complexity. Recognized internally and externally by peers, both in governmental and industrial activities, for technical expertise.*

You were assigned to perform a research study for the Branch (Mar-Aug XX) of the XYZ problem with the expectation that your study would produce findings, and recommendations to possibly solve or mitigate the XYZ problem. You queried the in-house researchers and various contractors, but no study was produced. Your team leader met with you to discuss this study and relayed the fact that you needed to put more effort into it and that a more timely product was expected. You did not complete the assigned study nor did you achieve the expected contributions. A temporary hire was brought into the branch to complete this study.

Expected Contribution During CIP Period: I expect you to provide a detailed study report, to include findings, conclusions and possible solutions, on the XYZ problem to branch management. You should develop a research/study plan with a milestone schedule that is satisfactory to me and conceive and define possible solutions. You must document your study in accordance with acceptable research reports. An acceptable contribution level will be reached when you define workable solutions and provide supporting analyses and information to the XYZ problem.

You were also assigned a project in the paper clip formation laboratory within the branch (Jun-Sep XX). You were required to prepare simple prototypes, and proved unable to do so. Additionally, you were unable to perform the basic manual manipulations required to create the prototypes.

Expected Contribution During CIP Period: I expect you to provide a detailed report on the elemental composition of premium paper clip material. You should perform an exhaustive literature search concentrating on previously isolated compositions and determine the best method of composition isolation, i.e., chemical or mechanical. You should determine what is the optimal acid concentration and how best to selectively extract the elemental clip material (ECM) from the solution. After ECM isolation, you should determine the atomic weight and purity and perform an overall analysis of the resultant solution. An acceptable contribution level will be reached when you define an isolation process, which can be used to efficiently and effectively reduce future laboratory workload.

b. *Contribution Factor 4 - Technology Transition/Technology Transfer: Develops demonstrations and interacts independently with internal/external customers. As a team member, implements partnerships for transition and /or transfer of technology (Advanced Technology Demonstrations, Memorandums of Understanding, Joint Director of Labs/Project Reliance, Cooperative Research and Development Agreements, and other dual-use vehicles.) Evaluates and incorporates appropriate outside technology in individual or team activities.*

You did not interact independently with internal/external customers. Opportunities were provided throughout the year for in-house team members to interact with the internal customer - the paper airplane weighting (PAW) team. In-house researchers were encouraged by management to discuss technology transition opportunities with the PAW team. You did not actively support joint service projects, Cooperative Research and Development Agreements, or dual-use vehicles. Opportunities existed in all these areas and Branch management solicited volunteers to support these endeavors. You did not volunteer and, when asked you accepted, but then took no action.

Expected Contribution During CIP Period: I expect you to make a viable recommendation to the PAW team on appropriate outside technology to incorporate into the Tangible Document Containment Project. In order to make this recommendation you should utilize literature search and information gained from other interactions. You need to examine the various technological possibilities in your area of expertise and recommend several leading technology candidates that can be used to improve the project. You should provide rationale with your recommendations. I also expect you to take advantage of existing opportunities to interact with your internal/external customers and to support joint service projects, Cooperative Research and Development Agreements and to actively participate in their development. An acceptable contribution level will be achieved when you provide a viable recommendation to the PAW team and when you interact positively to support your customers, joint service projects, and cooperative agreements. Such contributions may be achieved through direct exchanges

with customers and participation in meetings with them to provide recommendations and ideas to support such efforts.

*c. **Contribution Factor 5 - R&D Business Development:** Initiates meetings and interactions with customers to understand customer needs. Generates key ideas for program development based on understanding of technology and customer needs. Demonstrates expertise to internal/external customers. Contributes technically to proposal preparation and marketing to establish new business opportunities.*

You missed valuable opportunities by not initiating meetings with the internal customers (PAW team members) and you have not shown an understanding of either internal or external customer needs. In-house team members were encouraged to seek interactions with the PAW team members and you were informed of the various need documents available in the Branch. Since these documents were not logged out to you within the last 12 months, I must conclude that you did not review them.

Expected Contribution During CIP Period: I expect you to provide Branch Management with a recommendation of possible new business opportunities, which reflect our Branch mission. You should utilize literature search and information gained from other interactions to aide in the development of your recommendation. You must also develop and provide to Branch Management a research plan for a follow-on effort that contributes to the Branch mission and supports new business opportunities. An acceptable contribution level will be achieved when you provide a viable recommendation that identifies new business opportunities and a research plan that supports such opportunity initiatives.

3. Reasonable assistance will be provided to aid you in improving your contributions, including the following:

a. During this improvement period, I will monitor your contribution and provide you feedback using an activity log. This log will document your contribution as outlined by this plan. (Contributions will be noted and discussed as necessary.)

b. It is highly recommended that you enroll in and participate acceptably in a structured University course in metallurgy during the opportunity period. Other training may be scheduled for you as opportunities are identified.

c. As an aid in your meeting the requirements of this CIP, a milestone chart has been created and is attached. It summarizes suspense dates that you will be required to meet unless otherwise notified. If a situation occurs that would prevent you from meeting a deadline as prescribed in this CIP (e.g., training, personal or work-related emergency) your suspense date may be adjusted with prior approval by me.

d. Dr. Jonathon W. Donutt will provide oversight and some assistance for your in-house research project. Mr. Sydney R. Strangelane will be your point of contact for gathering information on the “internal customer” needs. Since these individuals will have direct interaction with you during this improvement period, they may provide verbal and/or written input to me regarding your progress. I will review their inputs and include as appropriate in the activity log.

Betty Supervisor, Chief

Decision Tree Branch

Power Cell Division

**Contribution Improvement Plan
Milestone Review**

<u>Review</u>	<u>Frequency</u>
<i>Research/Study Project Updates</i> - Status reports/discussion, w/me	Weekly, beginning 1/5/XX
<i>Research/Study Project Updates</i> - Meeting with management	Every two weeks, beginning 1/12/XX
<i>Research/Study Project Briefing</i> - For peers - For management	By 4/10/XX By 4/17/XX

Attachment 7**SAMPLE MEMORANDUM FOR RECORD**

Memo for Record

Date

Subject: Notification of Placement in the Automatic Attention Zone

To: AFRL/WXYZ (Dr. N. Milton Tyme)

1. The purpose of this Memo for Record is to inform you that your assessed contribution to the AFRL/WXYZ mission is not commensurate with your current salary level and places you in the Automatic Attention Zone (AAZ) when plotted against the Standard Pay Line (SPL). As a consequence, your base pay adjustment will be zero. While this notice proposes no formal action at this time, you need to increase your contribution to an adequate level. If your contribution is not at an appropriate level by (*the mid-cycle review*), action may be taken to place you on a formal Contribution Improvement Plan (CIP).

2. As you know, the Contribution-based Compensation System (CCS) assessment addresses six factors: technical problem solving, communications/ reporting, corporate resource management, technology transition/transfer, R&D business development, and teamwork and leadership. The specific areas in which you need to increase your level of contribution are (*technical problem solving and communications/reporting*.) I feel that the reason your contribution score placed you in the AAZ is partially due to (*your employment in AFRL as a result of surplus placement efforts and your unfamiliarity with the research laboratory environment, coupled with your high salary level*.) (*Note: This statement should provide specific instances of contribution deficiencies in order to ensure the employee is adequately informed*.) I anticipate that (*increased coaching for your tasks in your research area and planned communications training will provide you with the necessary tools to increase your contribution to an appropriate level by the mid-cycle review*.) (*Note: This statement should provide steps management has taken to rectify identified problems and should state taskings the employee should accomplish*.) In addition to achieving adequate contribution in the factors identified above, you must also maintain an adequate contribution level in the remaining factors.

3. If you wish me to consider any medical condition that may be contributing to your inadequate contribution level, you may furnish medical documentation to me for evaluation. Medical documentation should include such information as history, diagnosis, clinical findings, prognosis, etc.

4. Additional guidance can be found on the Lab Demo web site at:

<https://www.my.af.mil/gcss-af/afp40/USAF/ep/globalTab.do?command=org&channelPageId=-1465492>

The site includes information in the Federal Register (Volume 61, No 230, November 26, 1996, Page 60419, Section E), on the meaning of the AAZ and the procedures for addressing the contribution of employees. Additional guidance is contained in Chapter 5 of the AFRLMAN 36-104. (*Note: Provide a copy to the employee if necessary*.)

5. As stated above, your contribution is not commensurate with your compensation. As provided in the Federal Register, (Volume 61, No 230, November 26, 1996, Page 60418, Section D. 8.), a

provision exists for employees to request voluntary pay reduction or pay raise declination. If you choose to request this option, you must do so during the 30-day period immediately following the annual payout. *(Note: This paragraph should not be included in a notification done during the assessment year, since this option would not be available at that time.)*

6. Although the goal is that you will improve your level of contribution so that it is commensurate with your salary level, I must point out that should this not occur, possible follow-on action may include placement on a CIP. It is my hope that you will improve your level of contribution so that it is commensurate with your salary level. Management stands ready to assist you as much as possible in your efforts to increase your level of contribution. Please contact me if you have additional questions.

Betty Supervisor, Chief
Decision Tree Branch
Power Cell Division

Attachment 8

AAZ PROCESS

Figure 1 - AAZ PROCESS

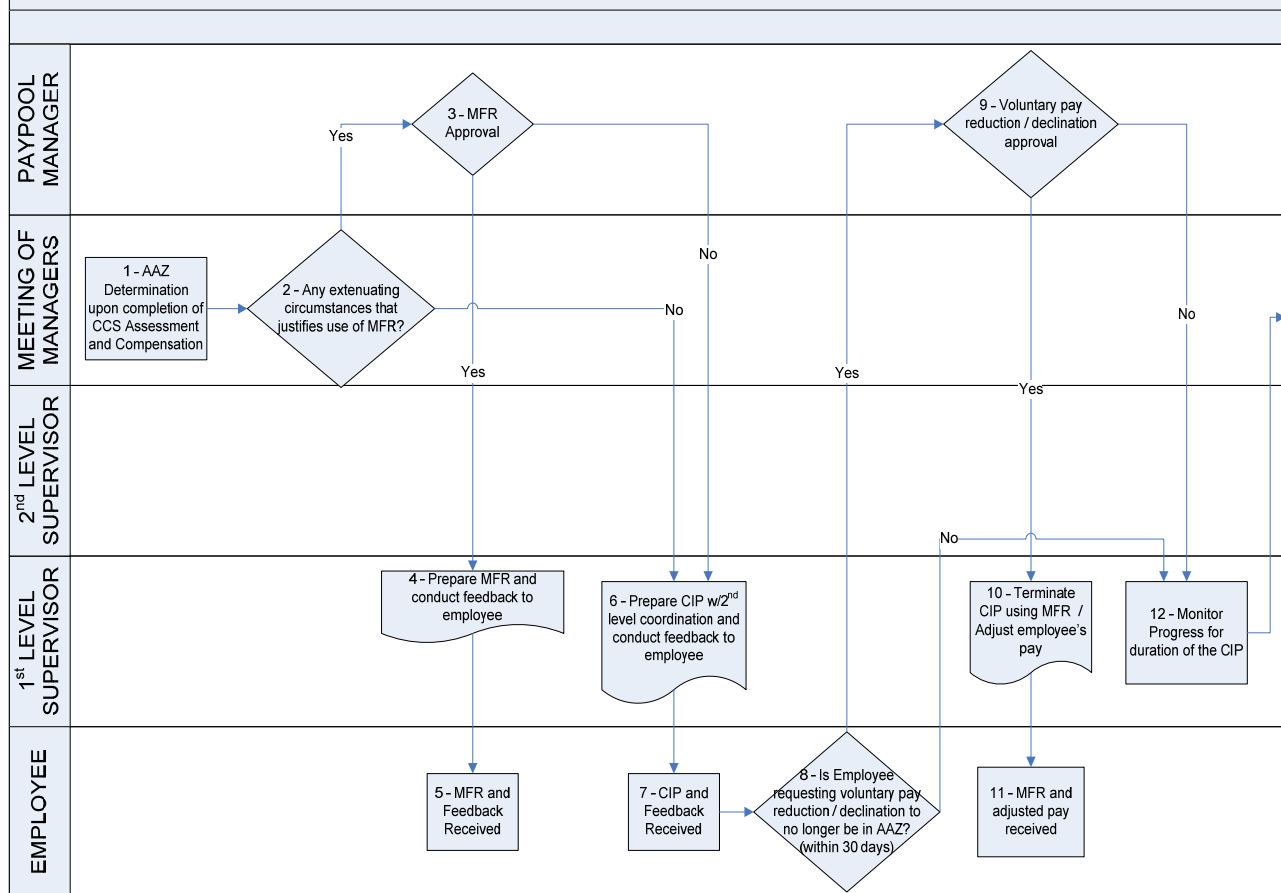
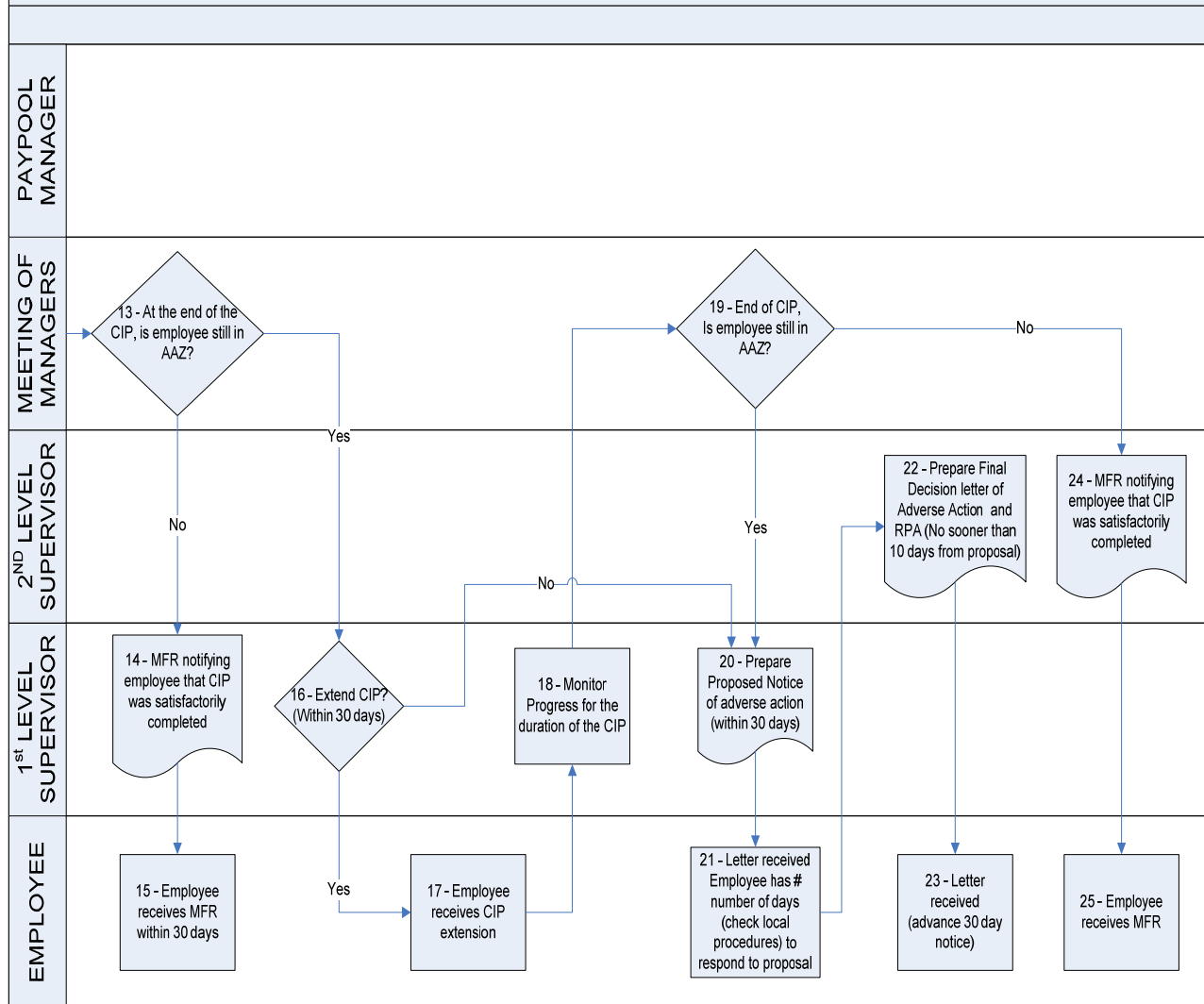


Figure 1 cont. – AAZ Process



AAZ Process

1 - Employees are identified for supervisory action when their contribution versus compensation plots above the upper rail of the Standard Pay Line. This is an unacceptable condition, and the employee is considered to be in the AAZ

2 - In some instances, a MFR may be issued to an employee placed in the AAZ, such as if an employee is placed only slightly above the upper rail and the withholding of "G" will align the employee within the rails.

3 - The use of a MFR requires a PPM approval.

4 - The first-level supervisor will prepare and conduct feedback to the employee. A copy of the MFR will be provided to the employee and another copy will be retained with the employee's AF Form 971, "Supervisor's Record of Employee." The servicing CPF and the next higher-level supervisor will also receive a copy.

5 - MFR and Feedback received by Employee.

6 - For any employee in the AAZ, a Contribution Improvement Plan must be completed. Placing an employee on a CIP is a formal action and the supervisor must inform the employee in writing of their failure to contribute at an adequate level and that their performance appraisal overall performance rating is a 'fail.' The first-level supervisor will prepare the CIP and coordinate it with the next higher-level supervisor prior to the employee's feedback session.

7 - CIP and Feedback received by Employee.

8 - A provision exists under the demonstration project authority for an employee to request a voluntary reduction in pay or to decline a pay raise. In order to be considered, employees must submit a request for voluntary pay reduction or pay raise declination during the 30-day period immediately following the annual payout and show reasons for the request.

9 - Management must consider and fully document all requests and provide reasons for approval or denial of such requests. Consideration should be given to the employee's reason for the request, the amount of pay reduction requested, the employee's CCS rating, and any other extenuating circumstances. The PPM must approve all requests.

10 - Since approval of such requests will place the employee closer to the SPL, the CIP may no longer be necessary or may need to be modified to a lower level of contribution requirements. This is the only instance when a CIP may be terminated earlier than the opportunity period provided. Consequently, management must document the reasons for approving the request, prepare a new CIP or terminate the CIP by documenting in a MFR the new contribution requirements expected, and advise the employee that a new CIP may be initiated if contribution once again deteriorates to an inadequate level.

11 - MFR and adjusted pay received by Employee.

12 - Management must provide the full period of time offered the employee to improve his/her level of contribution.

13 - At the end of the employee's CIP, the appropriate level meeting of managers will reconvene to determine if an appropriate level of contribution has been attained.

14 - If the employee's contribution reaches an appropriate level at the end of the improvement period of a CIP, a MFR will be prepared informing the employee that he/she has satisfactorily completed the requirements specified in the CIP and that no further action will be taken at this time.

15 - MFR received by Employee within 30 days.

16 - If there are extenuating circumstances or the employee has shown progress but the level of contribution is not yet appropriate after the designated improvement period, a MFR may be initiated to extend the improvement period. However, the CIP cannot be extended into the next CCS cycle.

17 - MFR extending improvement period received by employee.

18 - Management extends period of time offered the employee to improve his/her level of contribution.

19 - At the end of the employee's CIP, the appropriate level meeting of managers will reconvene to determine if an appropriate level of contribution has been attained.

20 - Within 30 days, the first-level supervisor must initiate action if the employee has not reached an appropriate level of contribution after the designated improvement period. The first-level supervisor prepares and issues a proposal letter to reduce the employee's pay or remove the employee from Federal service.

21 - Proposed notice of adverse action is received by Employee. Employee must check with local procedures to respond to proposal.

22 - A higher-level supervisor prepares and issues a decision letter if a pay reduction or removal from Federal service is still considered appropriate after the employee's response has been considered (no sooner than 10 days from proposal).

23 - Final Decision letter of Adverse Action received by employee.

24 - If the employee's contribution reaches an appropriate level at the end of the improvement period of a CIP, a MFR will be prepared informing the employee that he/she has satisfactorily completed the requirements specified in the CIP, and that no further action will be taken at this time.

25 - MFR received by Employee within 30 days.